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ABSTRACT

In December of 1985 the Association of Research Libraries (ARL) conducted a survey of its 105 academic members to determine which libraries were acquiring and circulating microcomputer software and what policy guidelines were regulating this library function. Of the 74 libraries that responded, 72 indicated they were acquiring microcomputer software for staff and administrative use, while 28 (38%) said they were circulating microcomputer software among their users. This Systems and Procedures Exchange Center (SPEC) kit includes a copy of the survey, summaries of survey results, and a short bibliography in addition to many relevant documents. Examples of documents include: acquisition and collection development policies from the American Library Association, Johns Hopkins University, University of Georgia, University of North Carolina at Chapel Hill, University of Michigan, Pennsylvania State University Libraries, and Cornell University; software use and circulation policies from Columbia University Libraries, University of California at Riverside, Virginia Polytechnic Institute and State University, Johns Hopkins University, and University of Texas at Austin; and institution-wide committee and task force reports from Columbia University and Stanford University. A 12-item bibliography is also provided. (THC)

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ISSN 0160 3582

MICROCOMPUTER SOFTWARE POLICIES IN ARL LIBRARIES

As the use of microcomputers increases within research libraries and among their users, so does the necessity for access to more sophisticated and varied software. In keeping with this trend, university libraries have begun acquiring and circulating software. The introduction of this new format has raised questions regarding policies and practices for selection, acquisition, funding, cataloging, patron access, user services, and circulation.

SURVEY RESULTS. In December of 1985 a survey of the 105 academic members of the Association of Research Libraries was conducted to determine which libraries were acquiring and circulating microcomputer software and what policy guidelines regulated this library function. Of the 74 libraries that responded, 72 indicated they were acquiring microcomputer software for staff and administrative use, while 28 (38%) said that they were circulating microcomputer software among their users.

Ten respondents (14%) indicated that they circulated software under a general policy, 49 (66%) said that they had no policy, and 15 (20%) were developing policy statements. In contrast to the policies of libraries, only four parent institutions had such policies for software acquisition and use, six were developing policies, and the rest (87%) had no policies.

Some 49 (66%) of the respondents were not cataloging their software, although at least some (if not all) were maintaining lists of their holdings. AACR2 was being used predominantly by 22 libraries (30%). Three libraries gave no response to this question.

Special limitations to acquisition and circulation were noted by 20 (27%) of the respondents. They included purchasing only software that is compatible with in-house machinery, circulating only software that accompanies a printed resource or only copyright-free software, limiting the time that items may circulate, and placing software in a reserve area.

The predominant means of protecting software seemed to be the posting of warnings against copying either on the disk, the computer, or in the microcomputer center. Other forms of protection included software locks (such as Prolok), packaging, write tabs on the disks, patrons signing statements of responsibilities and, of course, archival backup copies. The motivation behind such measures was concern about illegal copying of software as well as mishandling or tampering.

COPYRIGHT. Perhaps the thorniest issue related to the circulation of microcomputer software grows out of the relationship between software and the copyright law and, in particular, the licensing of software. On the one hand, the copyright law classifies computer software as "literary works" and as such copyrighted software ought to circulate with the same ease as books. On the other hand, producers of the more sophisticated and expensive software are choosing to protect their product by licensing instead of by copyright. The advantage for producers is that licensing allows them to exercise greater control over the distribution of the product by requiring more stringent conditions for use of the software, while retaining ownership. These conditions have proven restrictive to libraries.

One solution for those libraries that circulate software has been to negotiate different kinds of licenses, permitting use in a microcomputer center. Negotiation can be time-consuming and costly, and in some cases, software producers have refused to do so. However, the recent trend in the industry is to be more flexible about negotiating. Software producers are increasingly demonstrating a greater willingness to release libraries from certain restrictive conditions, such as using one program on one machine only. The source of software producers' concern stems from the extraordinary ease of duplicating software. Care must be exercised to ensure that adequate warnings are posted and that the library can show that it has made a good faith effort to protect the software from unauthorized use.

SELECTION. Most libraries tend to view the selection and acquisition of software as one component of onging acquisition functions. The selection process is conventional in that it relies on both requests from the faculty and students, and on library selection decisions. The selection decision might be made conventionally within the library, but in larger libraries the trend seems to be moving more toward the development of a software bibliographer with a specific budget line for software purchases.

The selection process may be limited to certain kinds of software. Most libraries are opting to select from the wide range of application software (such as word processing, spreadsheet CAI, and the like) and database software (i.e., machine-readable data files). One library in the survey limits itself to circulating databases only.

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There are also implications for a library's acquisition policy if the university has arrangements with particular microcomputer manufacturers for purchasing of hardware. If there is a standard for micros on campus, or if students are required to buy a specific type of computer, then those policies may influence the type of software which a library purchases. SPEC Kit #104, Microcomputers, (May 1984) discusses hardware issues and includes examples of planning, specification, and policy documents.

FUNDING. One library report recommends purchasing all microcomputer software from resource budgets, administered by selectors within individual subject budgets and using monographic and serial funds. All purchases are to be made through the library's Bibliographic Resources and Services Division. Another library employs a committee which has developed a list of standard packages for staff-used software. Additional software can be purchased as well, if justified by a staff member to the committee. Institution-wide policies tend to treat software funding a bit differently: one report recommends designating funds to support the acquisition of databases and centralizing purchases from these designated funds to avoid redundancy.

CATALOGING. Cataloging has been postponed by most libraries until the explication of AACR2's chapter 9 by ALA's Resources and Technical Services Division Committee on Cataloging Description and Access. Some libraries are even waiting until the MARC format is implemented before cataloging.

FACILITIES AND SERVICES. The trend in acquiring software seems to be to collect only what is compatible with available library microcomputers. Moreover, the software quite often is "uncontroversial" in nature: educational, public domain, and games. Patron use is usually limited to a specific area of the library. Warnings regarding use and copyright restrictions are almost always attached to the software disk or posted in the software lending area.

The reference level provided at most libraries is limited to providing documentation to patrons unfamiliar with the software. Some libraries have staff members familiar with the software who are available to answer individual questions, but not necessarily in any great depth; and a few libraries offer workshops and demonstrations. In many instances patrons appear quite willing to help each other. A practical reference plan seems to be, first, to establish the reference levels that the library is willing to provide and, second, to classify the types of software that it will acquire. Thus, each type of software can be coordinated with an appropriate reference level in conjunction with the available staff expertise. This planning will aid reference librarians who will be responding to questions from novices and experienced users alike.

RELATIONSHIP WITH COMPUTING FACILITIES. Although the trend seems to be for libraries to acquire and circulate software, consideration needs to be given to the library's connection with its college or university computer center. Some computer centers are uninterested in microcomputer software, since they are concerned primarily with mainframe or systems development. Other computer centers are interested in acquiring specialized software, but do not see themselves in the position of providing general facilities for software circulation. In any case, libraries are well advised to seek some kind of agreement or arrangement before assuming the cost and possibly duplicating effort. The reasons for opening a microcomputer center may include the longer hours that a library is open, and the central access by faculty and students. The structure of a microcomputer center can be precisely determined, unlike the contrasting university mainframe type of system. One consequence of this precision is that the library (or college) can plan cost-effective means of expanding currently saturated automation services of the institution.

TRENDS. Not only are hardware and software changing, but the needs and sophistication of users are rapidly increasing. It is no longer a matter of determining whether software should be systematically acquired and circulated, but how and where it will happen. In the academic setting, the library system provides a natural location for doing so. Moreover, there is some concern that by not assimilating this new medium, libraries might be abdicating a significant role in the information age.

Librarians are already trained to manage a wide range of formats from ancient manuscripts to videocassettes. The computer disk as a new format can be readily assimilated into the library's organizational system. It is a natural step in principle to make microcomputer software available to the user within the library's mission of supporting faculty and graduate student programs.

The SPEC Kit on Microcomputer Software Policies in ARL Libraries (#123, April 1986, 114 pages) includes additional survey results, seven examples of acquisition and collection development policies, five examples of software use and circulation policies, two institution-wide committee/task force reports, and a short bibliography.

* * *

This Kit was prepared by
Richard Nollan, Curator, Special Collections,
University of Pittsburgh Libraries, as part of the
OMS Collaborative Research-Writing program.

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USES OF SPEC KITS

The Systems and Procedures Exchange Center (SPEC) is a clearinghouse operated by the Association of Research Libraries, Office of Management Studies that provides a central source of timely information and materials on the management and operations of large academic and research libraries. It facilitates the exchange of knowledge and documents through SPEC Kits, which are distributed ten times each year to ARL members and other interested libraries. The Kits include topically-arranged groupings of unedited primary source documents – selected for their value to administrators and decision-makers – that illustrate a wide range of alternative approaches to specfic issues.

Kit documents come from general membership surveys and from selected libraries contacted directly by SPEC, and most Kits are produced within six months of surveys. The documents' value comes from their variety of ideas, methods, and solutions. They are not viewed as finished products, but rather as points of departure for a library's planning efforts and as stimulants to innovative approaches to problem-solving. As such, Kits do not present answers or prescriptions for any one library; instead they illustrate how selected ARL members are planning for or dealing with particular issues. The worth of any one Kit to a particular library will depend upon the specific topic covered and the library's stage of development in that area.

Materials are selected according to the following criteria:

- Presents an approach of potential value to administrators and decision-makers
- Timely, and dealing directly with the topic under consideration
- Probability of application of ideas or thinking to other library situations
- Illustrative of actual practice, rather than theoretical
- Understandable, readable communication

All together, the materials should provide a range of alternative approaches that complement each other, provide variety, and stimulate comparison and contrast.

Libraries can take advantage of the Kit compilations in a number of ways. Administrators can evaluate the assumptions, methods, and results of other libraries' approaches; compare and contrast them; and use the learnings in their own situations. Library staff members can use the kits as professional development and current awareness tools. Committees and task forces can use them to begin a review of current practices. And the Kits can identify other persons or places to contact for further information. Back-up files in the SPEC office also are available for loan to member libraries. In addition, SPEC will conduct on-demand surveys or analyses geared specifically for a single library.

EVALUATION

Kit Title/Number _____

1. Which uses did the library make of this Kit?

2. Please indicate how useful the Kit was for these purposes.

☐ Very Useful ☐ Quite Useful ☐ Somewhat Useful ☐ Not Useful

3. Do you have suggestions for this Kit or for future Kits?

(optional)

NAME _____

LIBRARY _____

PHONE _____

Please return this form to the SPEC Center, OMS/ARL, 1527 New Hampshire Ave., N.W., Washington, DC 20036.

1/82

MICROCOMPUTER SOFTWARE POLICIES IN ARL LIBRARIES
KIT #123, APRIL 1986

SPEC Survey on Microcomputer Software Policies 1

SPEC Survey Results 2

ACQUISITION AND COLLECTION DEVELOPMENT POLICIES

"Checklist for Selecting End-User Search Systems," Software Selection/Evaluation Draft. (American Library Association--RASD/MARS, January 1986) 7
"Microcomputer Lab Software Collection Development Policy. (Johns Hopkins University, M.S. Eisenhower Library, June 1985) 13
"Guidelines for Acquiring Software for Use By Library Staff." (University of Georgia, September 1985) 14
"Collection Development Policy for Machine Readable Data Files on Disks." (University of North Carolina at Chapel Hill, Academic Affairs Library, September 1985) 17
Draft Software Policy Statement, also includes USE POLICIES. (University of Michigan, February 1986) 24
"Acquisitions Guidelines on Computer Software." (Pennsylvania State University Libraries, November 1985) 38
"Collection Development Policy for Computer Assisted Material," DRAFT. (Cornell University, Albert Mann Library, July 1985) 62

USE AND CIRCULATION POLICIES

"Software Handling--Interim Guidelines." (Columbia University Libraries September 30, 1985) 75
"Library Policy Regarding Copyrighted Computer Software Programs." (University of California at Riverside, September 1985) 76
"Software Use Policy." (Virginia Polytechnic Institute and State University) 77
"Microcomputer Lab Guide." (Johns Hopkins University, M.S. Eisenhower Library, August 1985) 78
"PLC Microcomputer Center--Policy." (University of Texas at Austin) .. 80

INSTITUTION-WIDE COMMITTEE AND TASK FORCE REPORTS

"Data Base Policy Committee Final Report." (Columbia University, April 1985) 86
Final Report from the Supported Systems Task Force. (Stanford University, October 1985) 95

BIBLIOGRAPHY 114

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October 29, 1985 LIBRARY NAME_____

QUICK-SPEC SURVEY ON MICROCOMPUTER SOFTWARE POLICIES

The Microcomputer Software Acquisitions Policy Committee at an ARL member library is requesting information from academic institutions to help them with planning. Your responses to this survey should take a short amount of time, and will be useful -- not only to the requesting library -- but to other ARL members who borrow files from SPEC. In addition, if enough documents are obtained, we will consider publishing a SPEC Kit during early 1986. Please respond to this survey within two weeks of receipt. Thank you in advance for your participation.

* * *

NAME _____
LIBRARY/INSTITUTION _____
PHONE _____

	YES	NO
1. Does the library acquire microcomputer software:		
FOR administrative and staff use	____	____
FOR circulation to library users	____	____
(If NO, skip to Questions 6 & 7.)		
2. Does the library catalog acquired software using AACR2: If NO, what system do you use? Describe below or enclose documents.	____	____
3. Does the library have special circulation policies or limitations on circulation of software acquired for public use: If YES, enclose documents, or describe below.	____	____

4. Indicate below the type(s) of agreements the library requires before circulating software: (Check all applicable.

____ Public Domain Only
____ Site License
____ Specially negotiated agreement (Describe below or enclose copy.)
____ Other (Describe below or enclose documents)

5. How does the library protect publicly-circulating software from tampering or duplication: (Check all applicable.)

	NAME, IF COMMERCIAL PRODUCT
____ Protected diskettes (e.g., read-only)	_____
____ Protective packaging	_____
____ Computer security locks/devices	_____
____ Warnings on screen	_____
____ Other (describe:)	

____ None

	YES	NO
6. Does the library have a general policy covering the acquisition and/or circulation of microcomputer software: If YES, send policy.	____	____
7. Does the university have an institution-wide policy governing the acqusition of microcomputer software: If YES, send policy.	____	____

PLEASE RESPOND WITHIN TWO WEEKS OF DATE OF RECEIPT TO: Microcomputer Software Quick-SPEC, Office of Management Studies/ARL, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036. BE SURE TO ENCLOSE DOCUMENTS FOR A POSSIBLE SPEC KIT. Questions are welcome: call Maxine Sitts 202 232-8656.

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RESULTS OF THE SPEC SURVEY:

MICROCOMPUTER SOFTWARE POLICIES IN ARL LIBRARIES

December 1985

Number of Libraries surveyed:

105 (Academic members of Association of Research Libraries)

Number of Libraries answering the Survey Questionnaire:

74 (70% of Respondents)

Does your library acquire microcomputer software for administrative and staff use?

yes	72	(97%)
no	2	(3%)
	74	

Does your library circulate microcomputer software to library users?

yes	28	(38%)
no	46	(62%)
	74	

Does the library catalog acquired software using AACRII?

yes	22	(30%)
no	49	(66%)
n.a.	3	(4%)
	74	

Does the library have special circulation policies or limitations on circulation of software acquired for public use?

yes	20	(27%)
no	1	(1%)
n.a.	53	(72%)
	74	

Indicate the type(s) of agreements the library requires before circulating software.

public domain only	11
site license	6
specially negotiated agreement	6

Does the library have a general policy covering the acquisition and/or circulation of software?

yes	10	(14%)
no	49	(66%)
developing	15	(20%)
	74	

Does the university have an institution-wide policy governing the acquisition of microcomputer software?

yes	4	(5%)
no	64	(87%)
developing	6	(8%)
	74	

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COMMENTS ON CATALOGING ACQUIRED SOFTWARE (Question #2) SPEC SURVEY RESULTS

04/02/86

LIBRARY	CATALOG	INFO CATALOG
PURDUE	NO	BOOKS WITH DATA DISKS ARE CATALOGED, CIRCULATED
JOHNS HOPKINS	YES	DEFERRED UNTIL FUTURE DATE. AACR2 WILL BE USED
QUEENS	NO	DEPT. COMPUTING SERVICES HAS LIST OF RECOMMENDED SFTWARE
NORTH[illegible]TERN	NO	GIVING AWAY PUBLIC DOMAIN PROGRAM FOR EDITING CITATIONS
FLORIDA UNIV OF	NO	LIST MAINTAINED ON IBM-PC USING LOTUS 1-2-3
ROCHESTER	NO	NO SYSTEM. MAINTAIN LISTS BY TITLE
MICHIGAN STATE	NO	NONE CATALOGED AT THIS TIME
TEXAS UNIV. OF	YES	NOT ADMINISTRATIVE,STAFF SOFTWARE
MICHIGAN UNIV OF	NO	NOT CATALOGING. PLAN TO ENTER BRIEF RECORDS INTO CIRC SYST
MISSOURI	YES	NOT YET. WILL BE DOING USING AACR2
COLUMBIA UNIV	YES	ON RLIN AS SOON AS MRDF FORMAT AVAILABLE.
NORTH CAROLINA ST	NO	ONLY A LIST & ACCESSION NUMBERS. BEGINNING AACR2
VPI	YES	ONLY WITH PRINTED RESOURCE
YORK UNIV	NO	RESPONSIBILITY OF INDIVIDUAL DEPARTMENTS OR UNITS
WAYNE STATE UNIV	NO	SHORT LISTS AT SERVICE POINTS
TENNESSEE UNIV OF	NO	SOME AS INSERT IN MONOGRAPH. THEN CATALOG WITH MONOGRAPH.
PITTSBURGH	YES	SOME CATALOGED; SOME NOT (MICRO SEARCHING LAB)
WATERLOO	NO	UNDER DEVELOPMENT
ILLINOIS UNIV OF	NO	WILL DO FOR MRDF ON FLOPPY DISKS
BRITISH COLUMBIA	YES	WITHIN LIMITED GUIDELINES PROVIDED BY CHAPTER 9
WASHINGTON STATE	YES	WLN ASSUMED TO USE AACR2 IN DECEMBER
COLORADO UNIV. OF	YES	ACAD.COMP.CENTER.HAS SITE IN LIB. LIB. AV CIRCULATES IT

COMMENTS ON LIMITATIONS ON CIRCULATION OF SOFTWARE ACQUIRED FOR PUBLIC USE (Question #3)

04/02/86

LIBRARY	LIMITATIONS	INFO LIMITS	MORE LIMITS
WAYNE STATE UNIV	YES	BUILDING USE (SHORT,	RESERVE LOAN PERIODS
ALBERTA UNIV. OF	YES	CURRICULUM LIB 2 WK LOANS&	TWO HR. RESERVE (INT[illegible]) DATA LIB.-USUALLY PART OF DATA FILES
FLORIDA UNIV OF	NO	DECIDED TO ACQUIRE FOR	PUBLIC USE W/O CIRCULATION POLICIES. ARRIVING, NOT YET AVAILABLE FOR USE
WASHINGTON STATE	YES	DEVELOPING POLICIES. HAVE	ONLY A LITTLE, AND IT IS KEPT ON RESERVE
PITTSBURGH	YES	DOESN'T CIRCULATE OFF	PREMISES; LIBRARY PERSONNEL SUPERVISE PUBLIC DURING LIB. HOURS
MICHIGAN STATE	YES	FOR LIBRARY USE ONLY,	MAY BE USED ON MICROS IN LIBRARY'S MICROCOMPUTER LABORATORY
NEW MEXICO	YES	HAVE UNDER SPECIAL	CIRCUMSTANCES. WOULD CIRCULATE COPYRIGHT-FREE ITEMS, IF ACQUIRED
NORTH CAROLINA ST	YES	INHOUSE USE FOR FACULTY	AND STUDENTS. THROUGH CMC, SCHOOL OF ED FUNDING
ILLINOIS UNIV OF	YES	INHOUSE USE ONLY	
JOHNS HOPKINS	YES	INTERNAL CIRCULATION ONLY	
ROCHESTER	YES	MAY IMPOSE TWO-HOUR	CIRCULATION LIMIT IN FUTURE
SASKATCHEWAN	YES	MOST CIRCULATED THROUGH	RESERVE COLLECTIONS, SOME ON OPEN STACKS
MICHIGAN UNIV OF	YES	ONLY CIRCULATE AS MANY AS	PURCHASED. RESTRICT CIRC TO LIBRARY USE IDS REQUESTED FOR BORROWING
TEXAS UNIV. OF	YES	ONLY INHOUSE LIBRARY USE	ONLY IN MICROCOMPUTER CENTER TO OPEN 12/85
OKLAHOMA STATE	YES	ONLY LIMITED AMOUNT ACQUIR	FOR PATRON USE. HOUSED IN NON-BOOK ROOM. CHECKED OUT SPECIAL ARRANGEMENT
VPI	YES	PLACED IN RESERVE,NOTE IN	CARD&ONLINE CATALOG ALERTS PATRON - ONLY WITH PRINTED RESOURCE
COLUMBIA UNIV	YES	POLICY -- SOFTWARE	HANDLING GUILDELINES
MCGILL	YES	RESERVE BASIS ONLY	
MISSOURI	YES	TWO-HOUR RESERVE, SO FAR	NOT YET FINALIZED POLICIES
WATERLOO	YES	UNDER DEVELOPMENT	
PENN STATE	YES	USE WITHIN LIBRARY. DO NOT	CIRCULATE, WITH EXCEPTIONS AT SOME LOCATIONS
CAL BERKELEY	YES	BEGINNING TO CIRCULATE.	NOT CIRCULATING ANY FOR WHICH WE HAVE LEGAL RESPONSIBILITY

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COMMENTS ON TYPES OF AGREEMENTS LIBRARY REQUIRES BEFORE CIRCULATING SOFTWARE (Question #4)

04/02/86

LIBRARY	PUBL DOMAIN	LICENSE	SPECIAL AGREE	INFO AGREE	MORE AGREE
CAL BERKELEY	YES	YES	YES		
COLUMBIA UNIV					
MISSOURI				COMPUTER CENTER ADDS BLOCKING SOFTWARE TO BACKUP COPY,	AND THIS COPYRIGHT PROTECTED SOFTWARE CIRCULATES. ONE FOR EACH MACHINE.
ROCHESTER	YES	YES		3 TITLES ONLY, NEG. BY PARENT ORGANIZ. REGISTRATION OF	SHAREWARE (PC-TALK, PC-FILE, ETC.
MICHIGAN STATE	YES	YES		ARRANGEMENTS MADE THROUGH UNIVERSITY'S COMPUTER LAB.	
NORTH CAROLINA ST			YES	DO NOT VIOLATE COPYRIGHT. USED WITH ONE MACHINE ONLY	
TEXAS UNIV. OF		YES		IN PLANNING STAGES; WON'T BE REQUIRED FOR ALL	
MCGILL	YES			INHOUSE SOFTWARE ALSO USED	
PITTSBURGH			YES	LIBRARY HAS PURCHASED SINGLE COPIES OF SOFTWARE WITH	NO SPECIAL AGREEMENT
MICHIGAN UNIV OF			YES	PREFER TO CIRCULATE ONLY PUBLIC DOMAIN, BUT DO CIRCULATE	ORIGINAL COPY OF COMMERCIAL FOR RESERVE IF PURCHASED BY LIBRARY
GIT	YES			SHRINKWRAP LICENSES IGNORED-PURCHASED WITH STATEMENT	ON ORDER INDICATING IT WILL BE CIRCULATED
OKLAHOMA STATE			YES	SO FEW ITEMS, NO SPECIAL POLICIES ADOPTED YET	
ALBERTA UNIV. OF	YES			SOME DATA LIBRARY MATERIAL MAY HAVE RESTRICTIONS	

Summary for REPORT (Count = 74):

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COMMENTS ON PROTECTING PUBLICLY-CIRCULATING SOFTWARE FROM TAMPERING OR DUPLICATION (Question #5)

04/02/86

LIBRARY	DISKETTES	PACKAGING	LOCKS	WARNINGS	INFO PROTECTION
SASKATCHEWAN				AT TERMINALS	
KANSAS UNIV OF					
CAL BERKELEY					BACK UP COPIES
ALBERTA UNIV. OF					BACK UP COPIES MADE IN MOST CASES
WASHINGTON STATE					CIRCULATE BACK-UP COPIES ONLY
MISSOURI	YES PROLOGUE (COMP CENTER				COPYRIGHT NOTICES IN THE LAB
MICHIGAN STATE	LOTUS 1-2-3				COPYRIGHT SIGNS ARE POSTED
NORTH CAROLINA ST					DON'T LET OUT OF BUILDING
NEW MEXICO					FOR FEW THEY HAVE, MAKE BACKUP COPY
GIT				YES	NOTICE ON ENVELOPE
PENN STATE					PATRONS SIGN-OUT, STATEMENT OF RESP., COPYRIGHT.
COLUMBIA UNIV					SOFTWARE HANDLING GUIDELINES POLICY
TEXAS UNIV. OF					STICKERS ON MICROS, STAFF SUPERVISION, SIGN-OUT CARD
WATERLOO					UNDER DEVELOPMENT
MICHIGAN UNIV OF		YES			WARNING ON DISK ENVELOPE AND EACH WORKSTATION
JOHNS HOPKINS					WARNINGS AT EACH MICRO STATION
CORNELL UNIV.				YES	WARNINGS POSTED AT EACH WORK STATION
ROCHESTER				SSI FORTH, MODULA 2	WATERLOO PASCAL 2.5

Summary for REPORT (Count = 74):

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Acquisition and Collection Development Policies

AMERICAN LIBRARY ASSOCIATION
REFERENCE AND ADULT SERVICES DIVISION
MACHINE-ASSISTED REFERENCE SECTION
Direct Patron Access to Computer-based Reference Systems Committee

The Direct Patron Access to Computer-based Reference Systems Committee invites your comments on the following draft. Comments should be sent to James E. Crooks, University of Michigan Library, Ann Arbor, MI 48109-1205. The Committee will hear additional comments at its June 28, 1986 meeting in New York. The final edition of the **Checklist** will include a selective bibliography and an introduction.

All the items on the **Checklist** need not be used during the evaluation process. A negative, positive, or lack of an answer to any question should not necessarily impact on your final decision. Even though the **Checklist** was developed for librarians, others may find it useful.

Dennis Clark Hamilton, Chair

COMMITTEE DRAFT JANUARY 19, 1986

CHECKLIST FOR SELECTING ENDUSER SEARCH SYSTEMS

I. NEEDS ASSESSMENT

A. What is the demand for enduser searching? Are users establishing their own searching contracts? Are other organizations providing enduser systems? What volume of use do they receive?

B. Are consulting services wanted? Are users seeking advice on how to evaluate and select databank services, gateways, front-ends, and/or hardware? Is there a market for training programs?

C. What is the potential volume of use by and composition of the clientele? Is there a particular group of users being targeted?

D. What are the information needs? What are the levels of expertise and sophistication of the users?

E. What are the subject areas served?

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F. Are mediated searches currently available? How many of these searches are currently performed and for whom?

II. SCOPE OF SYSTEM BEING EVALUATED

A. Which systems or databases can be accessed?

B. How frequently are the databanks updated?

C. What subject areas are covered?

D. What relevant subject areas or specific databases are not included?

E. Can the system also access updated information or other databanks via telecommunication networks?

F. Does the user or the software decide which database or system to search?

III. SOFTWARE

A. LOGON FEATURES

1. How much of the logon process is automatic?

2. Is dial-up access to databanks via telecommunication networks possible?

3. Can users change or add to the configurations?

4. What security is provided for the password? Is it masked during printing?

B. SEARCHING AND RETRIEVAL

1. Is the system menu-driven, command-driven, or a combination of both? Can the enduser make that decision?

2. Are function keys available and appropriate? Can they be reprogrammed to meet local needs?

3. What kind of command structure is available?

a. What are the available commands?
b. What are the possible ways to limit a search?
c. Can the commands be renamed?

4. Are Boolean operators available? Which ones? Can you specify order of Boolean operations? Nest? Are there limits on the number of operators? Is set building supported? Is there a limit on the number of sets?

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5. What other search features are available?

   a. Wild card characters.
   b. Truncation (right, left, specified number of characters).
   c. Proximity (word adjacency, within N words, within field, within sentence, within paragraph).
   d. Range searching.

6. Are non-Boolean search features supported?

   a. Term weighting.
   b. Highlighting search words in context.
   c. Similarity: "Find me a document like this one".

7. Can the search strategy be uploaded? Can it be modified online during the search? How is this modification facilitated? How many different search statements can be uploaded? Is there a limit on the total number of characters?

8. What kind of display and printing capabilities does the system offer? Can citations be reviewed before printing? Are there any limitations on, or added charges for, the number of citations printed or formats selected?

9. Is authority control offered through the system? How does the command structure facilitate use of controlled vocabulary? Is there an online thesaurus from which terms can be selected? Is automatic switching to appropriate terms provided? If so, does the system inform the user of this automatic mapping feature?

10. Can the text be manipulated, edited, downloaded and stored as ASCII files? Will downloaded results be compatible with local database management software?

C. USER INTERFACE

1. How effective are user aids and/or help screens? Does the documentation include illustrations, detailed examples, an index, glossary, and summary charts? Is the documentation included in the software and can it be displayed?

2. Can screen messages be altered by user?

3. What kind of assistance, if any, is needed to help first-time users, experienced users? How easy is it for users to interact with the program?

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4. What kind of language is used by the system? Does it use English language or jargon?

5. Is the software available in languages other than English?

6. Does the system match the intended clientele in its level of sophistication? Is it suitable for the audience? Does it offer more than one level?

7. Can you interrupt the online process (e.g., break function, switching back and forth to software while online)?

IV. HARDWARE

A. Is the system hardware specific? Is a specific brand of hardware required to operate the system? Can the hardware be used for other applications or is it dedicated to the system?

B. Is the hardware supplied as a part of the contract for the system? Are all necessary peripherals included (e.g., printer, compact disk controller, etc.)? Can the hardware be leased or purchased?

C. What size memory is required to use the system? Does the system require a single floppy disk drive, double drives, or a hard disk?

D. Does the hardware offer buffering capability? What is the buffer size?

E. Are the ALA character set and non-Roman alphabets available?

F. Can the hardware display non-Roman characters, graphics, and color?

G. What are the physical characteristics of the hardware? Does the terminal use a keyboard, function keys, a separate number pad, a touch screen, a light pen, a mouse? Does the screen offer good resolution for display of the textual or graphic information?

H. What are the implications of public access to the equipment such as security, durability, lighting, noise, and number of work stations?

I. What kind of communication requirements does the system have? Are dedicated telephone lines needed? If needed, is a modem included with the computer? How does access to the system interface with other telecommunications protocols in the institutional setting? What is the transmission speed?

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J. Is the equipment portable?

K. What is the print quality and speed of the printer?

L. Are the keyboard and screen adjustable? Is there any problem with screen glare?

V. ADMINISTRATIVE ISSUES

A. COST FACTORS

1. What are the start-up costs, if any? Is there a one-time start-up fee? What are the total start-up costs for purchase or lease of hardware and software needed?

2. What are the ongoing search costs? Is there a contract for minimum usage per month or per year? Is there an annual subscription or licensing fee? Are there additional costs for membership in a network in order to gain access to the system?

3. What kind of contract or billing arrangement is possible? Can a group contract together at a reduced rate? Is payment by check, credit card, coin box, or deposit account? Is a group contract itemized by account and subaccounts?

4. Will the library, users, or a combination of library and users pay costs?

5. What bookkeeping functions are available? What management reports are generated by the system?

6. How are users apprised of ongoing search costs? Is there an accounting system for endusers with automatic online cost estimates? Is it possible to get subtotals for multiple database searches? Does software set maximum expenditure per search session and prohibit further interaction if amount exceeded?

7. Can charges to the user be overridden when there is an error or system problem?

8. Are there additional costs for software upgrades?

9. Are there additional costs for documentation and/or training?

10. What funding is required for ergonomic furniture, space renovation, and installation?

B. VENDOR CHARACTERISTICS

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1. Are a warranty and maintenance contract available?

2. What is the reliability of the system? How much down time does it have? Are the scheduled hours of availability acceptable?

3. Is there responsive service from the system? Is there a toll-free, 24-hour number for help? Is there an experienced customer service staff? What is the local support?

4. Is there a commitment to upgrading or revising the software when necessary? How much technical support will the vendor provide? Will the package interface with more than one system?

5. Is a training program offered? How effective is it?

6. Is it possible to do local modifications on the system? Can you get the source code? Are there licensing restrictions on this type of activity?

7. Is software copy-protected? Can working copies be made if you do not sell or give them away?

8. Where has the product been reviewed? Is it reviewing the current version? Will the vendor give names of current users as a reference check? Is there an active users' group or newsletter. How long has the vendor been in business? What are the company's dependability and reliability factors?

C. STAFF RESOURCES

1. What staffing is needed to support the use of the system? What hours will desk, telephone, or electronic reference service be available to help users? Will all staff or a dedicated staff be involved?

2. What existing activities will undergo change so that staff can be reallocated to this new activity?

3. Who will be responsible for teaching the public how to select and use the systems? Will the staff advise users on selection?

4. Who will maintain the equipment and order supplies? Who will be responsible for the daily operation of the public work area?

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JOHNS HOPKINS UNIVERSITY

MICROCOMPUTER LAB
SOFTWARE COLLECTION DEVELOPMENT POLICY

The Microcomputer Lab is available for use by all Johns Hopkins University students, faculty and staff. A collection of software will be maintained, and will be selected to support the academic programs at Johns Hopkins. Because many of the software packages available have a wide range of applications, the software collection will be interdisciplinary in nature.

Software selection will be made in accordance with the following guidelines:

1. Software must be compatible with existing hardware, i.e. at present, IBM PC or DEC Professional 350 microcomputers. Memory requirements of the software must be considered, and compatability with printers will also be a determining factor.

2. Software should support academic programs at the undergraduate and/or graduate level (i.e. Games will not be acquired).

3. Software packages should be well designed, user friendly and fast. Program documentation should be clearly and concisely presented. Ideally, there should also be a base of resources which support the program, other than vendor-produced, e.g. books, articles, software enhancements.

4. A highly selective collection of books will be maintained to serve as a reference source. In general, these will detail applications of specific programs.

Any CDL may recommend software purchases to the Head of Academic Services, based on the preceeding criteria. The Systems staff will also serve as a resource for CDL's interested in purchasing software.

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6/85

UNIVERSITY OF GEORGIA

Accepted 9/25/85

To: Management Council Date: Sept. 11, 1985

From: In-house Software Committee

Subject: Guidelines for acquiring software for use by library staff

Attached is a copy of Guidelines for acquiring software for use by library staff and a copy of the Standard Software List. The committee has focused on procedural guidelines for acquiring software, and, initially, the Standard Software List has been kept to a minimum.

In-house Software Committee:

John Campbell
Bonnie Clemens
Butch Cowart
Bill Loughner
Greg Anderson, chair

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In-house Software Committee

Guidelines For Acquiring Software For Use By Library Staff

When library staff are interested in acquiring microcomputer software for in-house use, the following guidelines should be observed:

1. Supervisory and department head approval should be obtained before any action is pursued. The need for a microcomputer application should be defined as clearly as possible. This can be accomplished through discussions with the department head and/or the microcomputer specialist in the Systems Dept. Butch Cowart.

2. Butch Cowart will then work with the staff member to advise and recommend a course of action for the staff member's requirements. This course of action could have several possibilities:

   A. A microcomputer software package available at another microcomputer work station in the libraries may be sufficient for the staff member's need. The staff member can then arrange to use that package at the other work station. Butch Cowart will be available to provide assistance for using the package.

   B. If the need can be met by a commercial microcomputer software package contained on a list of standard packages reviewed and approved by the In-house Software Committee, Butch Cowart can recommend that the staff member may initiate the request. A purchase request, with appropriate approval, should be forwarded with Butch Cowart's signature on a Request for Supplies form to the Supplies Office.

   C. If a commercial software package exists for the particular application and is not on the committee's list of standard packages, and it is desirable for the library to own; the staff member should then submit a request with justification to the committee. The committee will then make a recommendation regarding purchase.

   D. It may appropriate for the particular application to be developed in conjunction with the staff member by the Systems Dept. Such an application could involve modication of an existing program or development of a new program. If a significant amount of software development is requested a priority list will be implemented.

   E. The use of a microcomputer application may not be appropriate for the staff member's particular need and other alternatives may be pursued.

3. A similar process will handle recommendations to upgrade or replace software packages which the libraries currently own. In this case, committee members may initiate the action.

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Standard Software List

Wordstar 3.30

Multiplan 1.1

dBase III

PC - Talk

Professional Bibliographic System

We are in the process of discussing the establishment of a machine-readable data file unit that will be responsible for MRDF material and any associated software. The software, most probably, will be cataloged using AACRII and will circulate in-house.

The focus of the library's effort will be to collect data disks and instructional disks. Only those program disks necessary to access data and instructional disks will be purchased. The University's Microcomputing Support Center is responsible for collecting and circulating program disks (i.e., word processing, spreadsheet, and file management programs) and for computer literacy instruction.

	YES	NO
6. Does the library have a general policy covering the acquisition and/or circulation of microcomputer software: If YES, send policy. The attached policy covers machine-readable data files.	X	

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UNIVERSITY OF NORTH CAROLINA

Collection Development Policy for Machine Readable Data Files On Disks

June 26, 1985
revised July 1, July 3, September 24, 1985

Introduction: -

The fact that access to computer technology is now widespread within society as a whole has led to a corresponding increase in information resources which are available in new formats such as microcomputer floppy disks (also referred to as "diskettes") and magnetic tapes. While these new formats differ significantly from those conventionally collected by libraries, the information that is carried or conveyed through this new medium, whether bibliographic, numeric or textual, constitutes a logical extension of those materials which libraries currently collect. As one example of the types of information now available in the new format, in the past the Chronicle of Higher Education developed various yearly surveys and statistical analyses which were published regularly in hardcopy in issues of the Chronicle. These tables and surveys are now available for purchase on floppy disks, which allows the individual user to manipulate and reformat the data in whatever manner and for whatever purpose the user may choose. Other types of information, especially statistical information, census data, etc. which previously appeared in book or serial format, have likewise become available on disks or magnetic tape. The U.S. Bureau of the Census publications, The County and City Databook, County Business Patterns, and Population Estimates are examples of titles formerly in hardcopy which are also now available as data diskettes. Examples of non-numeric data files are: CareerScan IV, Directory of Public High Technology Corporations and the Academic American Encyclopedia. Examples of instructional data files are: Ethical Problem-Solving in the Social Sciences and Harmonic Analysis and Dictation. Increasingly, other information of an instructional, reference and research nature are also becoming available on magnetic and optical disks and in other machine readable formats.

While policies on the selection and acquisition of books, serials, videotapes, audio tapes, films, and filmstrips currently exist, few policies have been developed to adequately handle the selection and acquisition of data diskettes and datatapes. The following document is intended to provide such a policy for magnetic and optical disks only. Both fixed and manipulatable types of data files in these categories are covered by this policy. Because of the special requirements which apply to magnetic tapes, including their often being accessible only through mainframe computers, magnetic tapes are excluded from this policy. It should be noted that, due to the rapid and unpredictable technological advances which are taking place in terms of computer applications, this policy for data diskettes will necessarily require frequent review and revision.

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1. General Considerations

A. The BASIC PREMISE in establishing a formal policy on the selection and acquisition of materials in a machine readable format is that an academic, research library has as its primary responsibility the provision of access to the most extensive and most sophisticated sources of information available within the limits placed on the library by its financial, personnel and physical resources. Materials, such as data diskettes, which provide access to and enhance the use of significant information resources are appropriate additions to the library's selection and acquisition programs. They add a new dimension to the information which a library can provide and therefore, subject to financial and physical contraints, belong in the library's collections.

B. Because of the existence of a multitude of materials which appear in machine readable formats some means of differentiating among these formats for the purpose of selection and acquisition is necessary. Any DEFINITION of materials to be covered by this policy must take into account the existence of two basic types of disks (diskettes): 1) Program diskettes; and, 2) Data diskettes. Program diskettes contain "a logically arranged set of programming statements (or instructions) defining the operations to be performed by a computer in order to achieve the desired results." Examples of program diskettes are: Lotus 1.2.3, dBase III, Multimate, VisiCalc, SuperCalc, R-Base, etc. Data diskettes contain "characters grouped together in specific patterns, to which meaning is assigned: commonly used to designate the numbers, facts, concepts, or the like to be processed by a program." Examples of data diskettes are to be seen in the aforementioned U.S. Bureau of the Census publications, The County and City Databook, County Business Patterns, Population Estimates, CareerScan IV, PsycLit, Ethical Problem-Solving, etc.

C. Included within the SCOPE of this policy are only issues related to the selection and acquisition of data disks. Issues dealing with the selection and acquisition of individual program disks are excluded from consideration in the present policy, except in those instances where the individual publisher or supplier has included them as an integral and inseparable part of the data disk. (At present the selection and acquisition of program disks is expected to take place outside of the library materials budget. The fact that program disks are presently excluded from this policy is not meant to preclude their possible inclusion, contingent upon circumstances, at some later date.) Further, data disks must be located in those areas within the Academic Affairs Library which have the ability to handle and service these materials. DATA DISKS OF ANY SORT CANNOT BE HOUSED IN OPEN STACKS IN ANY ACADEMIC AFFAIRS LIBRARY UNIT.

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2. Selection Procedures

The same selection CRITERIA which are currently applied to the selection of books, serials and standing orders should be applied to the selection of data disks: 1) The materials enhance the library's collections; 2) The material is of a high quality both physically and intellectually; 3) The materials are within the subject parameters of the collections; and, 4) The materials are appropriate to the teaching and research needs of the community which the library serves; and, 5) In light of items 1-4 above, the cost of the material must be weighed against the cost of other possible purchases. Finally, in the case of selection by academic departments, it must be emphasized that data disks selected must be cataloged and housed within a unit or Department of the Academic Affairs Library. (They cannot under any circumstances be indiscriminately housed in the library's main stacks.)

As is the case with books, serials and standing orders, academic departments cannot use library materials funding to select materials to be held outside of the library system. In addition to these preexisting criteria for selection, several other factors must be considered in the selection process:

A. The data disks must be available for acquisition by the library. Agencies which sell or provide only to individuals rather than to institutions should be excluded from the selection process. Under no conditions will blank disks be provided in barter by the library as a basis for any agency providing or producing data disks.

   NOTE: If an individual who has acquired or been given materials wishes in turn to donate these materials to the library with the understanding that these materials will be available generally, the materials should then be treated as would any other unsolicited gift.

B. All hardware, i.e. "the physical equipment and components in a computer system," required to operate the data disk must already be available either in the Department selecting the material or in the area which will ultimately house the data disk.

   NOTE: If materials are being selected by a Departmental Library and are to be housed and used in that Departmental Library, then the Departmental Library must already possess the hardware necessary to run the data disks. Materials selected by an external unit for possible housing in a Departmental Library or any Academic Affairs Library unit must first gain permission and approval of that unit before selection. The library or unit concerned will determine whether it is interested in having the material, and then if it has the capability for housing and servicing the material requested.

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C. All programs required to operate the data disk -- except those which are an integral part of the material under consideration for selection -- must already be available either in the Department selecting the material or in the area which will ultimately house the data disk. Program disks which are not available to the public, e.g., those used for internal departmental record-keeping or other non-public operations, do not meet this requirement.

NOTE: If materials are being selected by a Departmental Library and are to be housed and used in that Departmental Library, then the Departmental Library must already possess the programs necessary to run the data disks. Materials selected by an external unit for possible housing in a Departmental Library or any Academic Affairs Library Unit must first gain permission and approval of that unit before selection. The library or unit involved will determine whether it has the program capability of housing and servicing the selection.

D. Part of the selection process must also include the prior determination, i.e., before ordering, that sufficient personnel with an adequate level of training in hardware and software use are available in order to assure access to and proper use of the materials selected.

NOTE: If materials are being selected by a Departmental Library and are to be housed and used in that Departmental Library, then the Departmental Library must already possess the personnel necessary to run the data disks. Materials selected by an external unit for possible housing in a Departmental Library or any Academic Affairs Library unit must first gain permission and approval of that unit before selection. The library or unit involved will determine whether it has the personnel capable of servicing the materials selected.

3. Funding

Funding for those materials which meet all the selection criteria above will be the same as currently exists for books and new subscriptions. One time purchases of data disks will be considered as being the same as an expenditure on books. Subscriptions to services which provide data disks on a recurring basis will be considered as being the same as a New Subscription. There will be no special allocation for the purchase of these materials, and they must fall within the financial limits provided by the existing budget allocations. The same limitations which currently exist for Book and New Subscription expenditures will also apply:

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A. Individual data disks being requested for purchase within a Book Allocation and costing over $250 but less than $500 must be approved by the University Bibliographer before they are forwarded to the Acquisitions Department.

B. Individual data disks being requested for purchase within a Book Allocation line and costing more than $500 must be approved by the Research Fund Committee of the Library Administrative Board before they are forwarded to the Acquisitions Department.

C. More expensive data disks can be considered by the Research Fund Committee at both its fall and spring meetings. These requests must meet the same criteria and standards which apply to all materials to be considered by the Research Fund Committee.

D. Requests for additional funding in the Book and New Subscriptions lines for the specific purchase of data disks should be included with the budget requests which are submitted in May/June of each year. Although the amount should be included as part of the Book or New Subscription allocation request, as is appropriate for the type of material, the amount requested for data disks should be specifically and separately stated.

E. Expenditures for data disks will be monitored by the Collection Development Department on a regular basis in order to determine the increase or decline in interest in the acquisition of these types of materials; their impact on existing collections and services, will also be studied.

4. Acquisitions

As is currently the case with Books and New Subscriptions, the appropriate order card should be generated by the unit ordering the material. Information on the order card should include the specific title of the data disk and all information appropriate to identify the agency selling the material. It should be clearly indicated on the order card that the material is a data disk. The Academic Affairs Library location for the data disk must be indicated. If the location for the material is other than that of the individual approving the order, then the order card must also contain the signature of the individual who is in charge of that location. No materials will be accepted or processed for acquisition unless there is a clear indication that the location of the material has been approved.

5. Cataloging, Circulation, Copying and Use of Data Disks

Policies concerning cataloging, availability for use by the public, circulation and copying in addition to policies regarding public access to all the programs, hardware and data disks covered directly or indirectly by this policy are presently being developed. Upon approval these policies will be appended to this document.

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6. Special Considerations

It is a stated and basic principle within this policy that no data disks should be stored in the open stacks of any Academic Affairs Library unit. Also included within this category of exclusions are any floppy disks (diskettes), magnetic tapes or other machine readable materials contained physically within books or serials. The main stacks provide neither access nor security for any of these materials. Those disks, especially ones contained in books, which are inadvertently checked out through the circulation system suffer the immediate and complete physical loss of the information stored on them. Dust, dirt, heat, humidity, compression, and improper storage and handling will also result in disk failure. A controlled environment is absolutely necessary in order to provide even minimal disk preservation. A location other than the main stacks must be established and approved before these materials are cataloged. Any materials which are not accepted at locations other than the main stacks must be either returned to the vendor or publisher, or discarded.

Because of the difficulty which the Library of Congress has had, until recently, in establishing cataloging procedures for data disks, tapes, program tapes, etc., especially those which are enclosed in books, we have acquired a number of unexpected data disks and programs which were included in books. These should be returned to the individual who ordered the material so that he or she may establish their specific library location in light of the above policy. In the future any such material identifed after receipt should be shown to the individual who ordered the material so that proper disposition of the material can be arranged in accord with this policy.

As noted previously in the policy, blank disks will not be provided nor can be acquired through the use of Library materials funding for exchange with an agency or publisher for data disks.

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FOR INTRA-UNIVERSITY CORRESPONDENCE

UNIVERSITY OF MICHIGAN

THE UNIVERSITY OF MICHIGAN

UNIVERSITY LIBRARY

February 14, 1986

TO: Director's Assembly

FROM: Carla J. Stoffle

SUBJECT: Draft staff circular (interim) on library software

Attached is a draft of policies and procedures relating to software. They are intended as a guide for the University Library to follow during the next year in selecting, acquiring, creating records for, and making available for use software both for library clientele and for library staff.

Because the policies or procedures (or both) are likely to be reconsidered and revised after being in place for a while, they are being issued as an interim document.

Cabinet has reviewed the policies and recommends their adoption. However, they want to know what questions the staff have about the guidelines and what other issues ought to be considered. This document will be discussed at Director's Assembly on Wednesday, February 19.

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CJS/jlo
Attachment

SOFTWARE POLICIES

I. Public Use Software

A. Funds. A public use software fund has been established by the University Library. It is administered through Acquisitions in the same way as special purpose book budget funds. The budget for 1985-86 is $35,000. This fund is to be used for software acquired by library units for direct use by their clientele.

B. Selection and ordering. Software should be selected with the same care as other library materials. User requests should be considered within the context of support for academic teaching programs and research, taking into account what is available through other campus sources. (See attachment 1 for suggested selection criteria)

During this first year of funding, because we have no prior experience by which to judge demand and because loan policies are conservative in order to provide the greatest protection from unauthorized copying, only those units that have micros available for public use may purchase copyright restricted software.

Software that is physically protected from copying should not be acquired unless a back-up copy can be obtained at no or nominal cost.

Procedures:

1. The requesting unit fills out a Public Use Software order form (see attachment 2a), including a brief description of purpose, an indication of what use restrictions apply, and any special instructions, such as ordering a back-up copy.

2. The head of Acquisitions is responsible for approving expenditures from the public use software fund. When a unit has ordered $1,000 in software, all further requests from that unit will be referred to CMDC for review. (The Engineering and Undergraduate libraries are exempted from this review for 1985-86)

3. Acquisitions will order the software and send a copy of the order form to CMDC. A letter describing the intended use of the software will accompany each software package ordered by Acquisitions. CMDC will review public use software purchases quarterly to become familiar with the types of materials being ordered and for what purposes.

4. When received, Acquisitions will affix a label warning the user that the software is protected by copyright and may not be copied.

C. Records of holdings. Until Mirlyn is a real working system, records for public use software acquired by the library will be barcoded and entered into Geac at the time of receipt. (See attachment 3 for guidelines). Geac will constitute the record of holdings for the library.

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D. Public use and copyright protection. Software falls into three general categories - (1) public domain (2) locally produced (3) commercial. Use of public domain software is unrestricted. Use of locally produced materials should be in accordance with the requirements of the individual or department making them available through the library.

The library should follow the guidelines below in providing user access to commercial software:

1. Prior to ordering, the requesting unit should whenever possible determine what license agreement pertains to a given software package. The producer should be informed in writing of the conditions under which the library intends to make the software available, if this does not meet the conditions specified in the license agreement.

2. A single copy of each package purchased may be made for back-up or archival purposes. For copy-protected software, back-up copies should be requested from the vendor at the time of purchase if supplied at no or nominal cost.

3. Use of software should be restricted to machines within the library or microcomputer center. It should not be loaned for use outside the library, unless permission has been obtained from the producer.

4. In general, the original copy should be used. If the original is damaged, the backup may be used to replace the original disk.

5. The number of copies in use should never exceed the number of copies purchased.

6. All copyright protected software will bear a label warning the user against unauthorized copying.

7. A notice will be posted at each public workstation informing users of copyright law as applied to software.

8. The library should require that faculty who place software in the library for student use sign a statement that it was acquired legally.

9. The library will not sell or provide blank disks.

10. Documentation may be loaned as other print material.

11. Copying of software documentation is governed by photocopy guidelines applied to printed materials.

E. Retention, withdrawal, preservation. Software that is no longer needed should be withdrawn. Records should be deleted from Geac and if still usable, the disks should be sent to the Microcomputer Center at UGL for use or disposal.

II. Staff use software

A. Funds. A fund has been established to support software that is needed by the library staff to increase efficiency of library operations or to accomplish tasks defined in annual plans. The 1985-86 budget for staff use software is $25,000.

B. Selection and ordering. Primary responsibility for selecting the best software for a particular purpose lies with the unit in which it is to be used. They should make an effort to determine whether the program is appropriate for their needs and compatible with available hardware. However, the Systems Office may be able to provide some assistance, and will review all requests for staff software before orders are placed.

Procedures.

1. The requesting unit fills out a staff use software order form (see attachment 2b), describing what the software is expected to do, and sends it to the Systems Office.

2. The Systems Office reviews the operating requirements on the basis of staff knowledge and information supplied by the requester. The purpose of this review is to assure that the software will be compatible with existing hardware and is likely to successfully perform the functions for which it is being ordered. The Systems Office will make comments and raise questions, but is not responsible for acquiring test copies, testing, or verifying that the requested software will operate on existing equipment. The role of the systems staff is to provide general advice. It is up to the requester to ascertain that the software will, in fact, work.

3. After review by Systems, the signed form is returned to the requesting unit. It is then submitted to the appropriate administrator for approval and forwarding to Acquisitions to be ordered.

B. Records of holdings. A listing of newly acquired staff software will be produced from Innovacq. In addition, a review file on Confer will be developed that will serve as a source of information and evaluative comments about software being used in the library system.

C. Guidelines for use and copyright protection.

1. License agreements restricting use should be ascertained prior to ordering, and unless alternative agreements are worked out with the producer, should be followed by staff.

2. A single copy may be made for archival purposes, for backup in case of damage, or if required for running the program. No additional copies should be made.

3. The number of copies in use should not exceed the number purchased.

4. Each copyrighted disk should carry a notice warning against illegal copying.

5. Staff training should include information about copyright and prohibitions against copying commercial software.

6. Staff should not be allowed to take software out of the library for home use.

Attachments

draft 2/14/86

SOFTWARE SELECTION CRITERIA

Selectors purchasing software may apply these criteria as appropriate. Of particular importance is the experience of others who have used the packages and the recommendations found in descriptive and evaluative review sources. Selectors may apply a different set of these criteria in selecting software for staff than in selecting subject-related software for faculty and student use.

I. SOFTWARE

1. Have you stated your objectives and described your applications?

2. Do you know what software is available? Check descriptive and evaluative reviews? What is the most recent version of the software?

3. Is someone else on campus using the package? Use CONFER to solicit information. See a demo and talk with others.

4. Is this a "brand name" package? Be cautious in dealing with smaller and newer companies.

5. What does it cost?

6. Can the software be purchased "on approval"? Is there a demo disk?

7. Are academic, library, or volume discounts available?

8. Is there a warranty or some sort of maintenance agreement?

II. USE AND SUPPORT

1. Does the packages have system-wide use?

2. Can working copies be made if you do not sell or give them away?

3. Who will be in charge of the application?

4. How easy is it for users to interact with the program?

5. Is complete and accurate documentation included? Are there illustrations, detailed examples, an index, glossary, and summary charts?

6. Do modifications need to be made, and, if so, do they require a programmer?

7. Will the vendor send new versions as released?

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III. HARDWARE

1. Are there hardware contraints that may affect use of the package?

2. Does the software run on hardware available either in the unit or on campus?

IV. VENDOR

1. Does the vendor maintain a research and development program directed at the constant enhancement of the product you are considering?

2. How long has the vendor been in business?

3. Can the vendor offer other packages that interface with the one you want?

4. Can the vendor provide references of users of the software?

5. Will the vendor provide technical support?

6. Does the vendor have a help hotline?

7. Is there an active user group and/or newsletter? Is there local support?

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UNIVERSITY OF MICHIGAN

Staff Software Acquisitions Form

Instructions and reference sheet

Proposal for software purchase:

This section should contain a general description of what you expect to do with this software.

Software is usually chosen to solve a particular problem--the important things to mention in this section are 1) the problem you want to solve, and 2) why this package solves them.

In particular, are there things the package has to do for you--print special output formats or characters, work with special hardware, provide some special function (statistical analysis, graphics...) The more specific you can be, the less likely there might be "surprises" when the package arrives.

For further information contact:

Name of the person in the unit to contact if there are further questions.

Hardware and operating system requirements...:

This section is used to determine whether the software package will run on the computer equipment you plan to use. Please attach any source material you used to select the product.

There are many types and combinations of computer equipment, and software packages that work on one kind of machine may not work on another. Software is often described in advertisements, reviews, etc. in terms of the categories listed in the left-most column, as an aid in determining what machines will be able to run the package. A description of the standard Library Zenith equipment is in the next column. Using the Zenith description as an example, fill in a description of your product under Software you want needs:

If you are not planning to use a Library Zenith to run the package, describe your machine in the right-most column.

Serial number of the machine you plan to use:

Fill in your machine's serial number. The Zenith number is on the back of the system unit below the power plug.

Other hardware/software requirements or recommendations...:

If the product requires or if the publisher recommends hardware or software that is not available on your machine, list it here. It is important, if you use this section, to provide your source material.

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Staff Software Acquisitions Form
Instructions and reference sheet
January 03, 1986

Product meets requirements as described:

Leave blank -- filled in by Systems Office based on preceding description

---

The last section is designed like a book order form. Because there is no accepted equivalent for software of the ISBN or ISSN number, the accuracy of your description is all a software vendor has to go on. Be as specific as you can.

Vendor/Fund: Leave blank.

Software Title: Provide as full a title as possible.

Publisher: Provide the publishers name. In cases where the publishers address is listed, provide that also.

Version: If there is a particular version of the software you want, list it (i.e. Enable 1.1, MS-DOS 2.11). Otherwise "Current", "Latest", etc. are acceptable.

Details: List the options, from those that may be offered by the software publisher, that you are requesting.

SOURCE: Attach or indicate the source for the information provided above.

DEST: Name of the Library destination for the software.

DEALER: Leave blank

FUND: Leave blank

REQUESTER: Name of the person responsible for the order.

A.D. Authorization: Leave blank

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Staff Software Acquisitions Form

UNIVERSITY OF MICHIGAN

Please attach any supporting documentation including ads, brochures and reviews

Proposal for software purchase: Date:_____

(Please describe how you want to use the software listed at the bottom of this sheet)

For further information contact: _____

Submission of this request means that the requestor agrees to all legal restrictions regarding use of the product.

Hardware and operating system requirements of software you wish to purchase:

The following information must be provided to determine whether the product will run on your machine. Likely sources are advertisements, reviews and brochures. Please attach this information if at all possible.

	Library Zeniths have this:	Software you want needs:	If you're not planning to use a Library Zenith, your machine has:
Basic hardware:	IBM Compatible	_____	_____
Operating system and version:	MS-DOS 2.11	_____	_____
Memory requirements:	320K RAM	_____	_____
Video display required:	Non-color graphics	_____	_____
Disk drives:	2 360K drives	_____	_____

Serial number of the machine you plan to use: _____

Other hardware/software requirements or recommendations from the software publisher:

Product meets requirements as described:

_____ for Systems Office

Vendor | Fund

Software Title:
Publisher:
Version:

Details: (Even within a single product options may be offered by the software producer. List your choice for any of these options. One option may be copy-protection or no copy protection; your source may list others)

SOURCE | DEST. | DEALER

FUND | REQUESTOR | A.D. Authorization | Date:

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UNIVERSITY OF MICHIGAN

Public Use Software Order Request

Order specifications: (to be supplied by selector and included in order)

Title: _____

Publisher: _____

Version number of the software: _____ latest _____

Basic Hardware: _____

Operating system and version: _____

Memory requirements: _____

Number and capacity of disk drives: _____

Other Information that must be included on the order:
Even with a single product, options may be offered by the software producer. List your choice for any of these options. One option may be copy protection or no copy protection; your source may list others.

_____

_____

Cost: _____ Name & Address of Source: _____

_____

Other Recommended Source: _____

(Please attach brochures or other supporting documentation)

****

Selector:_____ Dept./Unit_____

Item is for (check one): _____General Circulation _____In-Library Use Only

Briefly describe software (describe function): _____

_____

_____

Authorization:_____

****

date received _____ _____ amount paid _____

3/86

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34-35

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Since the GEAC system has limited access points, the standard bibliographic description will have to be rearranged to make accessible those approaches which patrons are most likely to use. Also we suggest some simplification of terminology, again to accommodate patrons' expectations. However, this adjustment of the bibliographic record should be done in a consistent fashion so that, if we should in the future wish to load these records into the ILS or into RLIN, the record could be programmed to reformat into a standard bibliographic record. A detailed cataloging/inputting manual would have to be prepared along the following lines by a knowledgeable person or group.

The GEAC record should include:

1. Call number
2. Author field
3. Title field
4. Imprint date
5. Notes
6. ISSN and/or LCCN, if available

1. Call number.

Like other non-print materials in the University Library System, the call number for software should be derived from a continuous numerical sequence system, rather than a subject classification, in order to facilitate compact and secure shelving of the material. The call number should begin with a generic term such as SOFTWARE, continue with a letter or letters standing for the divisional library, and a number assigned in direct sequence as each item is processed in a particular library.

Sample call no.:	SOFT	SOFT
	WARE	WARE
	E5	Med20

The call number field could also include a separate call number for any accompanying documentation likely to be circulated separately. Example:

SOFT	SOFT
WARE	WARE
E5	Med20
Manual	Guide

2. Author field.

Although personal authorship of software is possible, software is more often the product of a collaborative effort and is likely to be entered under title, according to cataloging rules. However, patrons are likely to identify software with the company which produced and published it and may wish to see a listing of all software put out by a particular company. Therefore we recommend entering the name of the producer/publisher in the author field in order to provide access to this information. The name of the personal author could also be entered in this field as a $8 subfield which would be searchable.

CALL #: SOFTWARE B3 $b SOFTWARE B3 Guide
AUTHOR: Apple Puget sound Program Library Exchange $b Graves, William G.
TITLE: The spreadsheet $b Software $b Apple II
IMPRINT: 1983
NOTE: 1 computer disk ; 5¼ in. + 1 user's guide
System requirements: 48K memory
Version 2.0

CALL #: SOFTWARE R4 $b SOFTWARE R4 Guide
AUTHOR: XPS
TITLE: Apple-cillin II $b Software $b Apple II $b system diagnostic utility
IMPRINT: 1982
NOTE: 1 computer disk ; 5¼ in. + 1 guide
System requirements: Apple II, Apple II+, DOS 3.3, DOS 3.2

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PENNSYLVANIA STATE UNIVERSITY LIBRARIES

ACQUISITIONS GUIDELINES ON COMPUTER SOFTWARE

May 1985
Revised July 1985
Revised November 1985

Prepared by the Bibliographic Resources
and Services Division

Carol Chamberlain
Joyce Ogburn
Kim Fisher

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..CQUISITIONS GUIDELINES ON COMPUTER SOFTWARE

These guidelines address the Libraries' acquisition of microcomputer software and mainframe machine-readable data files which are intended for patron and staff use. Since acquisitions is so closely interrelated with other library processes, some examination of related activities is also provided. Collection development and selection as well as legal implications, physical handling and maintenance, and access services, are addressed here from an acquisitions perspective. One area excluded from the scope of this document is bibliographic control of computer software since that matter is addressed by the librarians involved with bibliographic policy.

Preparation for developing the guidelines included a literature search, communication with colleagues at other institutions, communication with campus librarians and an exploration of software-related activities, offices and centers throughout the University. The process yielded some helpful information but for the most part there was relatively little documentation for us to use as a framework for the guidelines. There is little published library literature on computer software. None of the seven academic libraries contacted has an acquisition policy for such resources. There does not seem to be a University-wide policy at Penn State, and practices regarding computer software seem to be as varied as are the locations using it. The process left us with more questions than answers.

These guidelines serve for purposes of discussion. They are not definitive but we recommend that they be used as a working base from which a library-wide policy can continue to develop. Software issues have many far-reaching implications for the Libraries and we would be happy to share the knowledge we have gained (and the concerns we have wrestled with over the past three months) with other members of the University community.

Three needs that must be met to ensure the successful application of these guidelines are:

- the need for the University Libraries to define the role of computer software within the Libraries' mission

- the need for the University Libraries to work closely with the Computation Center, the Microcomputer Information and Support Center and other appropriate University units in areas of mutual concern, such as the negotiation of discounts, license agreements and other contractual arrangements

- the need for a University purchasing policy for computer software.

Since computer software is a rapidly changing technology we view this as a dynamic document. These guidelines will be reviewed and revised as necessary.

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Acquisitions Guidelines for Computer Software

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2.0 Collection Development and Management 1

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11.0 Marking and Binding 7

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Appendix A: Selected References

Appendix B: PSU Department of Purchasing Services: Agreement Covering Restrictions on Use of Software . . . . . .

Appendix C: PSU Department of Purchasing Services: Use of Computer Software . . . . . .

* Appendix D: ICCE Policy Statements . . . . . .

* Appendix E: Microcomputer Capabilities at CCLD Libraries . . . . . .

Appendix F: CES Policy: Storage, Control, and Access of Computer Software . . . . . .

*NOT INCLUDED IN SPEC KIT

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ACQUISITIONS GUIDELINES FOR COMPUTER SOFTWARE

1.0 DEFINITION

1.1 Software can be defined as all the programs, procedures, and data used for the operation of a computer system. Programs and procedures operate the computer hardware and manipulate data. They include operating systems, assemblers, translators, compilers, generators, applications programs, subroutine libraries, and utility programs. Data consists of relatively unstructured collections of data items (data files) or highly organized, structured records (data banks and data bases). Data collections can be either unchanging or updatable. Data for computers is often referred to as machine-readable data files.

1.2 In general, software is treated differently from printed matter by both publishers and copyright laws. This necessitates a comparable treatment by libraries. Until the time, if ever, that software is considered like any other tool or form of information, libraries must abide by the legal, publishing, and computer industries' concepts of software.

2.0 COLLECTION DEVELOPMENT AND MANAGEMENT

2.1 The Pennsylvania State University Libraries support the goals of the University in aiding research and instruction. To this end software should be treated like any other material. The collection management of the Libraries must consider both the needs of the University and the special issues surrounding the acquisition and use of software. Clear and specific guidelines and selection criteria (considering program languages, operating systems, and hardware to be supported) on software should be set forth in library-wide collection development policy statements and in the policy statements of individual subject areas and the campuses. BRSD Acquisitions will work within these sets of guidelines.

2.2 At this time, the formats which BRSD Acquisitions will purchase are a) microcomputer diskettes and b) machine-readable tapes.

a) Only microcomputer software that will run on hardware available in the Libraries will be acquired.

b) Machine-readable data files that may be housed at the Computation Center will be considered for purchase but various conditions must be reviewed before new titles can be acquired.

2.3 BRSD Acquisitions will support the purchase of programs, procedures and machine-readable data files, under the guidelines in the collection development policy statements. BRSD Acquisitions recognizes and can support the purchase of software published as part of a monograph or serial.

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2.4 Printed documentation that accompanies, supplements, or supports the use of software can be purchased. The purchase of enhancements, updates, and duplicate copies of software and documentation can be accommodated.

2.5 To facilitate the selection process, BRSD Acquisitions will provide and coordinate the dissemination of selection tools, such as routed journals and reference materials, as appropriate.

3.0 FUNDING

3.1 Monies for the purchase of software and supporting documentation will come from the resource budgets, administered by selectors within individual subject funds. All materials will be purchased through BRSD Acquisitions. Monographic and serial funds will be used as appropriate to support software purchases. Material selected by the Libraries may be considered for housing at the Computation Center. It is recommended that funding of large purchases be shared by both the Library and the college or department which the software is to support. As some data tape purchases are quite expensive, funding of such purchases may require considerable negotiation among units and future updates need to be considered.

3.2 Software purchases to support internal library operations should be funded separately (along with any other books and journals purchased for staff use) but can be managed within the Libraries' materials budgets if appropriate allocations are established. They are often legitimate library materials purchases which are best obtained through Acquisitions. (Such an arrangement would necessitate establishing a new fund account which would be used to purchase all materials for internal library use, regardless of format.)

4.0 ORDERING

4.1 Order requests are submitted by authorized selectors and campus librarians for microcomputer software and data files for library patron use. Order requests for use in library operations must be reviewed and approved through appropriate administrative channels. Since verification of order information is difficult because titles are often not specific, the order request must specify format (disk, cassette, magnetic tape, book accompanied by disk, etc.), technical specifications (size, density, etc.) and must specify the appropriate operating system and hardware on which the software will be used. As is the practice with other library materials, requests priced at $100 or more will be referred for review by one of the acquisitions librarians.

4.2 All University Park micro software requests will go through the pre-order search process in Information Processing. Requests for mainframe data files generally will not require extensive pre-order searching at present.

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4.3 Appropriate ordering tools will be housed in the Acquisitions reference area for verification purposes and to aid the staff in selecting an appropriate supplier.

4.4 Orders will be placed on a firm order (one-time) or continuing order basis. Continuing orders generally include updates of materials (subscriptions).

4.5 Acquisitions will select an appropriate supplier, depending upon publisher and distributor requirements. As micro software distribution channels are unpredictable, generally orders will be placed with one of the Libraries' major academic vendors or agents, in order to ensure proper service and discounts. University and other local sources, such as General Stores or commercial retail outlets will be used when appropriate. It is important to note that the vendor/agent is often a "middleman" between the publisher/distributor and the library and is not considered a party to contractual agreements.

4.7 Upon special request Acquisitions will attempt to obtain micro software for preview purposes. Permission to preview software is given solely by the software publisher/distributor and Acquisitions will comply with the terms of the publisher/distributor regarding the length of the examination period, returns, privileges, and fees charged. The appropriate library personnel at the requesting location will be responsible for previewing the software and for notifying Receiving unit staff of the decision to accept or reject the material within the designated time period. Other previewing possibilities may exist in other facilities (e.g. MISC) and these will be explored whenever reasonable.

4.8 In some instances, Acquisitions may decide it is advisable to obtain a written quotation before placing an order. As is the practice with other library purchase requests, Acquisitions may choose not to place an order with a supplier who is known to engage in unscrupulous business practices.

4.9 Some software is physically copy protected; for others license agreements restrict copying. If the intent of the requestor is to have a duplicate copy of the original, then Acquisitions should know this before ordering to determine whether to purchase multiple copies of copy-restricted software.

4.10 Free software (no cost for purchase) will be ordered through Acquisitions in order to ensure appropriate processing. This will provide a central point of coordination for communication with the supplier and will prevent unnecessary duplication.

4.11 Registration fees are often required for the support of "free" software. Only "registered" users are eligible to received updates to the software and related documentation. Registration fees will be treated as expenditures for the library or subject fund requesting the software.

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4.12 Acquisitions will work with other University units as appropriate to negotiate license agreements with software publishers, and to obtain higher discounts on multiple copy orders and on multiple copies of software documentation.

4.13 Mainframe computer data files generally will be obtained directly from the publisher/distributor/producer, rather than from our academic vendor(s). When dealing with orders placed directly, it will be necessary to assess the supplier's reputation, commitment to service and willingness to cooperate in areas of mutual concern, such as quality control.

5.0 RECEIVING AND QUALITY CONTROL

5.1 Micro software and data files ordered by the Libraries will be received in the Libraries. Shipments will be inspected for obvious physical damage upon receipt and to ensure that the correct number of disks, tapes, paper guides, etc., has been received. An acquisitions librarian will review the materials.

5.2 It is important to note how materials are shipped and how they are packaged (in envelopes, shrink wrapped, in plastic containers, notebooks, etc.). The wide variety of packaging methods may result in a lack of standardized controls for housing and handling. (See section on marking and binding.)

5.3 The responsibility for determining the quality of the <u>contents</u> of the software/data file rests with the individual housing location (campus library, branch library, Pattee locations and offices, Computation Center). Software should be loaded and checked immediately upon receipt at the housing location. Defects and errors should be reported to BRSD at once.

5.4 BRSD will attempt to obtain replacements for defective and damaged software and data files at no additional cost.

5.5 As is the practice with other library materials, generally there will be no attempt to return software received as a result of a firm order, <u>unless</u> it is damaged or defective. Acquisitions will not attempt to return materials that are deemed "inadequate" or which turn out to be less than the requestor expected. Careful consideration must be made <u>before</u> software is ordered.

5.6 Software will not be received on the Libraries' approval programs. However, <u>notification slips for software</u> will be received as part of the Libraries' approval profiles,but considered as information slips only; software will not be ordered through the approval arrangement because it is generally non-returnable. Firm order requests must be submitted by selectors for such items.

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6.0 LICENSE AGREEMENTS AND LEGAL RESPONSIBILITY

6.1 License agreement forms are often received with software. Agreements vary widely among different publishers -- some may restrict copying, others may require that the software be used on one designated piece of equipment or in one designated physical location.

6.2 Acquisitions usually orders software without knowledge of publisher restrictions on use. The license agreement should be a criterion in the selection process (at the pre-order stage). It may be useful to explore the feasibility of requesting information on restrictions from the publisher prior to ordering. (In the future, acquisitions tools may include this type of information as part of a statement on a publisher's sale policies. However, given the fact that some software publishers are basement operations it is unlikely that these publishers would be listed in acquisitions reference sources.)

6.3 The Libraries will comply with University policies and instructions concerning the use of software. When appropriate BRSD Acquisitions will seek assistance and negotiation of license agreement terms with other University units.

6.4 The Libraries will comply with all known federal and state laws or international conventions regarding copyright, licensing, and sales.

6.5 BRSD will consult with the Business Manager when license agreements or "shrink-wrap" notices are received.

6.6 Generally, if the Library has purchased and opened a software package, it has de facto agreed to abide by the publisher's restrictions, whether or not an agreement is signed. Copyright restrictions also are in force.

6.7 Software users may also be <u>personally</u> liable for license agreement violations and copyright violations. All users should be apprised of the agreements and restrictions in force for <u>each</u> software item used. (See App.B ~~13.6.~~)

6.8 At present license agreements for software received by other University units are signed by the Assistant Vice President, Purchasing. Although Purchasing authorizes the Libraries to purchase library materials, license agreements should not be signed by the Libraries unless instructed by the Library Business Manager and the Department of Purchasing Services. (This is an interim practice at the moment.) However, Acquisitions will sign registration forms which may entitle the Libraries to updated documentation and other services provided for registered users of particular software. The Libraries will assume the responsibility for signing agreements and forms.

6.9 All forms and notices (signed or unsigned) should be kept on file in BRSD and copies should be kept with the software.

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6.10 The Libraries should develop appropriate notification mechanisms for users, such as developing standard forms users must sign, in order to avoid possible legal violations.

7.0 ARCHIVAL COPIES OF SOFTWARE

7.1 Archival copies of original software are essential in light of the nature of the material. Publishers' agreements may or may not allow the practice of making a copy for archival purposes. In some cases a backup copy may come as part of the order. In any case, publishers recommend that the original copy be housed as the archival copy (this differs from the suggested recommendation in Appendix C.) It should also be pointed out that some software is copy-protected, i.e. encoded in a way that makes it unable to be copied. It may be possible, however, to copy software that is not copy-protected. In the latter case, the copied software would be the circulating copy. In the case of tapes, the Computation Center would be responsible for backup copies.

7.2 Backup copies may be stored in a number of ways. These options include: on floppy disk, on hard disk, or on tapes at the Computation Center. In circumstances in which the Computation Center houses the tapes purchased by the Libraries it is the responsibility of the Computation Center to oversee these tapes.

8.0 STORAGE

8.1 Generally, original or archival copies should not be circulated. The University Libraries should designate a secure location(s) for archival software. It should also be noted that some software may be housed in Reference areas. If software is circulated, the supporting documentation for it should be permitted to circulate as well.

8.2 It is also the responsibility of the University Libraries to maintain these materials in a controlled environment. The University Libraries should see that extremes such as excessive heat, sunlight, tobacco smoke, moisture, dust, and magnetic fields are not in contact with the software. Food of any kind also has no place near software.

9.0 USER RESPONSIBILITY

9.1 The user (including staff) is expected to handle software with care, to avoid allowing it to come in contact with excessive forces noted above, i.e. heat, moisture, dust, magnetic fields, food, tobacco smoke, or any other factor that could cause damage to the material. The user is responsible for materials (software and/or documentation) that he/she has damaged or allowed to be damaged. The University Libraries will charge the user for appropriate fees and processing.

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10.0 SECURITY

10.1 It is important that software be made secure in a number of contexts. One context includes anything that a user may do to alter what is on the disk. A write protect tape should be kept on each piece of software (or floppy disks) to assure that nothing is altered by writing, erasing, or editing. (The tape covers a notch on a the floppy disk thereby preventing it from being altered.)

10.2 A second context of security concerns external factors such as magnetic fields. Since a magnetic field may harm the contents of the disk, a warning to that effect on the software itself is appropriate. (The exit gate system at PSUL is not magnetic and should have no effect on software.)

10.3 It may also be necessary to determine the contents of the disk to be certain that all files that are supposed to be on the disk are. This might be accomplished by means of a printed copy of the disk's directory that could be printed and kept with the documentation.

11.0 MARKING AND BINDING

11.1 To assure greater protection the software should be housed in a durable container, i.e., something that will not bend. In addition to the warning about magnetic fields, the software and the software container should have the same barcode, a PSUL property stamp, and a small Checkpoint label. It might also be appropriate to bind the documentation and include the software in a pocket in the back. A write protect tape should also be placed over the notch on the software.

11.2 In the case of a disk supplementing a book, a pocket part with a stiff cardboard backing may be provided in the back of the book. As with other materials ownership and marking should be included in addition to a barcode and note of warning regarding magnetic fields.

12.0 CIRCULATION

12.1 The issue of circulating software raises a number of complicated issues. From a legal standpoint, nothing in the Copyright Law suggests that a library is prohibited from lending software. The practical aspects of loaning and receiving software present some extended concerns.

12.2 If software is circulated in a manner similar to books, then such requirements as length of circulation, eligibility of users, fines, and other circulation regulations would have to be determined. One option would include housing the disks in special containers for circulation purposes. Fines could be considered for disks improperly returned by way of a book drop or conveyer.

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12.3 It is important that that University Libraries recognize the need of its users to make use of software in a laboratory or office setting in much the same way a book might be needed in those locations. User needs and the University Libraries' need to control resources are two very important issues that will require some balancing.

12.4 A second alternative to servicing the software holdings would simply be to operate in a reserve room setting with software and microcomputers available for room use only. From an acquisitions standpoint this would be preferable. Such a supervised situation would mean less abuse, fewer replacements of software, and less infringement regarding legal agreements. Documentation could also be housed in this location, with archival copies secured as well. There should also be copyright restriction signs posted in the area in which the software would be used. It should also be specified that programs designed to unscramble copy protection codes would not be allowed.

12.5 Whether the user uses the software inside or outside the University Libraries, with each transaction he/she should be required to acknowledge (with a signature) a statement on the copy protection of the software.

12.6 Software purchased for library operations use should be available for PSUL departmental or unit charge in the same way other library materials are.

13.0 INTERLIBRARY LOAN

13.1 Libraries are not restricted from lending or borrowing software at the present time. The participating libraries should, however, have the option of stipulating whether the software shall be used in or outside the library or loaned. The length of the loan should also be specified.

13.2 In any case, the patron will still be required to acknowledge a statement on the copy protection of the software.

13.3 The University Libraries should also consider the issue of intercampus loaning of software.

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APPENDIX A: Selected References

Demas, Samuel. "Microcomputer Software Collections." Special Libraries (Winter, 1985), pp. 17-23.

Garten, Edward D. and George R. McMeen. "A Roundtable of Concerns: Microcomputer Software in the LIbrary." Library Hi-Tech (Winter, 1983), pp. 99-101

Hall, Hal. "A Roundtable of Concerns: Microcomputer Software in the LIbrary." Library Hi-Tech, vol. 5, no. 2, pp. 99-101.

Helm, Virginia. Software Quality and Copyright: Issues in Computer-Assisted Instruction. Washington, D.C.: Association for Educational Communications and Technology, 1984.

Nasatir, David. "Stalking the Wild Data Set: The Acquisition of Machine Readable Social Science Data at Home and Abroad." Drexel Library Quarterly 13 (January, 1977), pp. 43-47.

Piele, Linda J. "Circulating Microcomputer Software." ACCESS: Microcomputer in Libraries, vol. 2, no. 4, (October, 1982), pp. 7-8, 20-23.

Robbin, Alice. "Pre-Acquisition Process: A Strategy for Locating and Acquiring Machine-Readable Data." Drexel Library Quarterly 13 (January 1977), pp. 21-42.

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PENNSYLVANIA STATE UNIVERSITY
APPENDIX B

AGREEMENT COVERING RESTRICTIONS
ON USE OF SOFTWARE

THE PENNSYLVANIA STATE UNIVERSITY
GENERAL FORMS USAGE GUIDE

Purpose:

The University frequently enters into purchase agreements or license agreements to acquire software. Many of those agreements contain requirements concerning confidentiality and restrictions on disclosure and copying. In addition, federal copyright laws protect copyrighted software from unauthorized use or disclosure. Faculty and staff using the software should be aware of these restrictions and comply with the contract provisions and copyright requirements. Use of this form will help the University verify that persons using the software know about restrictions applicable to the use of such software.

Where to Obtain Forms:

The appropriate form will be sent to the budget administrator and budget executive by the Department of Purchasing Services when a Purchase Order and License Agreement are received requesting software.

Number of Copies and Ultimate Distribution:

Original	-	White	-	Assistant Vice President for Purchasing Services
Adequate copies	-	White	-	Each user permitted by the software license agreement

Where to Send Completed Forms:

After signatures are obtained, make adequate copies for each user as permitted by the software license agreement, and return the original to the Assistant Vice President for Purchasing Services.

Instructions:

(1) If requested, identify the computer model number and serial numbers on which the software will be used. (Some license agreements do not require this. If not, the form received will not ask for it.)

(2) Sign the form as specified.

General Information:

All questions should be directed to the Assistant Vice President for Purchasing Services.

(4-15-85)

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THE PENNSYLVANIA STATE UNIVERSITY

Department of Purchasing Services

Dear _____:

Enclosed is an executed copy of the software license agreement with _____.

You should be aware that there are provisions in that agreement which restrict the use and copying of the software and impose certain confidentiality requirements on the University and its employees. There is also a provision which limits the software to be used on one designated computer: Model# ___1___, Serial# ___1___. Those provisions have been marked on the enclosed copy.

Violation of these requirements may result in personal liability for damages or other legal relief against employees using this software. It is important, therefore, that you and each employee who uses this software be aware of the provisions of this agreement.

We ask that you do the following for your own protection as well as to protect the interests of the University:

1. Give a copy of this letter and agreement to each employee who will use the software.

2. Sign where indicated below and return this letter to Purchasing Services. This will confirm that you are aware of the provisions of this agreement and have distributed copies of this letter and the agreement as required herein.

_____
Signature
Budget Executive

2

_____
Signature
Budget Administrator

Note: Example form reduced. Actual size 8 1/2 x 11.
(4/85)

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PENNSYLVANIA STATE UNIVERSITY

APPENDIX C: From Department of Purchasing Services

Use of Computer Software

Throughout the University many questions are being asked about the use of computer software. Many of these questions center around five issues:

Archival or back-up copies
Legal and illegal use copyrighted diskettes
Use of "pirated" diskettes (illegal copies)
Public domain software
Penalties

The purpose of this memorandum is to clarify these issues for you and provide a reference for future use of computer software.

We offer the following answers to the most asked questions about the use of computer software. We hope this information will be helpful to you.

1. What is a back-up copy?
An archival/back-up copy is a copy of a diskette which must be stored and used only if the original is lost or destroyed. It is not to be used on a daily basis

   Many producers provide a back-up copy or a way to obtain one at a reduced rate. You may make a copy of a diskette for archival purposes only if a back-up is not provided or if there are no provisions for obtaining one at a reasonable rate.

2. Can you legally copy a copyrighted diskette?
No, except for back-up as described above or permission has been granted in writing through a licensing agreement or special action of the copyright owner.

3. How do I know if a diskette is copyrighted?
There may be a copyright notation on the label of the diskette.

   Copyright notification may appear when the program is run.

   There may be a statement in the documentation or instruction manual indicating that the program is copyrighted and may not be duplicated.

4. What is public domain software?
Public domain software is uncopyrighted. Anyone can use it and duplicate it. There is frequently a notice of public domain status and a statement that the program cannot be sold for profit.

   Public domain software is often distributed by software exchanges; users pay a nominal fee for a diskette or obtain one in exchange for a diskette containing a program of their own.

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5. How do I know if a diskette has been illegally duplicated?
If a diskette contains no title page, no notice of copyright or if the program goes directly to the menu, it may be illegally duplicated and some research should be done to determine the legality of the copy.

A homemade copyright notice label should alert the user that the diskette contains either original programming, public domain software, an archival copy, or an illegal copy. The user of a diskette containing a homemade copyright notice should ascertain the nature of the diskette's contents prior to use.

6. Is it legal for me to copy a copyrighted diskette for use in my classroom for any reason other than archival purposes?
No, not without prior written approval as described above.

7. Is it legal for me to copy an already (illegally) duplicated diskette for use in my classroom?
No

8. Am I permitted to use an illegally duplicated diskette in my classroom?
No

9. Am I responsible for attempting to ascertain whether a diskette has been illegally duplicated?
Yes

10. If I am given or lent a copy of an illegally duplicated diskette by a student, parent, salesperson, or other individual, may I use it?
No

11. What are the penalties for infringement of copyright, including the use of an illegally duplicated diskette in my classroom?
Our legal counsel has advised us that the Copyright Act provides a number of remedies in case of copyright infringement, including the following:

a. enjoining the continued use of the program;

b. impounding and destroying copies which have been used in violation of the Copyright Act;

c. awarding the copyright owners any actual damages suffered and any profits the violator may have acquired in connection with his use of the copyrighted work, or in the alternative, statutory damages in a sum of not less than $250 or more than $10,000 as the court considers just. In the event of a finding of willful infringement of copyright, the court may award statutory damages up to $50,000;

d. criminal penalty for infringement of copyright willfully and for purposes of commercial advantage or private financial gain;

e. criminal penalty for fraudulent placement of notice of copyright on work created by another;

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f. criminal penalty for fraudulent removal of copyright notice from a copyrighted work;

g. the court may award costs, including reasonable attorneys' fees, to the prevailing party in a copyright infringement action.

12. If I have questions about the appropriate use of software, what sources of answers are available to me?

There are several sources of information regarding the appropriate use of computer software:

a. review the documentation that comes with the software;

b. call the Purchasing Department.

In addition, it is recommended that each user of software be aware of the restrictions imposed by the Copyright Act. Any questions regarding proper interpretation of the Copyright Act, however, should be referred to the Purchasing Department.

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PENNSYLVANIA STATE UNIVERSITY

Equipment Index
5/11/85

Acoustic coupler - See: Modem

Acoustic modem - See: Modem

Adapter
- IBM/PC printer adapter - McKeesport
- IBM/PC asynchronous communications adapter - McKeesport

Card
- 40 column text - McKeesport
- 80 column text - Behrend, Berks, DuBois
- Extended 80 column - Behrend
- Microtek memory expansion card - Mont Alto
- Micro soft softcard - Behrend
- Parallel interface - Berks, DuBois, Mont Alto
- Phone modem - Behrend
- Super serial - Berks

Disk drive, (Radio Shack) - Fayette, Hazleton

Disk drive, double (Apple) - Behrend, Berks, Delaware, Mont Alto

Dual disk drive (Radio Shack) - Allentown

Disk Drive, single (Apple) - Altoona, Delaware, McKeesport, Ogontz, Schuylkill

Modem
- Anderson Jacobson Model A242A acoustic data coupler - Allentown
- Apple - Schuylkill
- Hayes Microcoupler - McKeesport
- Hayes Micromodem - Altoona, Ogontz
- Hayes Smartmodem - York
- Radio Shack acoustic modem - Berks, Hazleton
- Telstar acoustic coupler - DuBois

Microcomputer
- Apple IIc - Schuylkill
- Apple IIe - Behrend, Berks, DuBois, Shenango Valley, York
- Apple II+ - Altoona, Delaware, DuBois, McKeesport, Mont Alto, Ogontz, Schuylkill
- Apple Macintosh - Schuylkill
- IBM/PC - McKeesport
- Radio Shack TRS80 Model I - Fayette
- Radio Shack TRS80 Model III - Hazleton
- Radio Shack TRS80 Model IV - Allentown

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Equipment Index Continued
5/11/85

Monitor
- Apple III - Berks, Mont Alto
- IBM/PC monochrome display - McKeesport
- NEC - Ogontz
- Not specified - Behrend
- Sanyo DM 5112CX - McKeesport

Mouse
- Apple for the IIc - Schuylkill

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- Apple Image Writer - Altoona, Schuylkill
- CItoh for Apple IIc - Schuylkill
- Decwriter IV - Delaware
- Digital LA-50 for Qume terminal - King of Prussia
- Epson - Shenango Valley
- Epson FX80 - Behrend
- Epson RX80 - Allentown, Berks, McKeesport, Mont Alto, Ogontz
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- Not specified - DuBois
- Qume Script V - McKeesport
- Radio Shack TRS80 DWP-40 Daisy Wheel - Hazleton

Tapedrive
- Radio Shack TRS-80 - Hazleton

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Software Index
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Accounts Payable (TRS) - Hazleton

Accounts Receivable (TRS) - Hazleton

Apple Term (Apple) - Schuylkill

Apple Works (Apple) - Behrend, Berks, Schuylkill

Apple Writer (Apple) - Behrend, Mont Alto

Apple Writer I (Apple) - McKeesport

Apple Writer II (Apple II+) - McKeesport, Ogontz

Apple Writer II (Apple IIe) - Berks

ASCII Express (Apple) - Berks

Author I (TRS) - Hazleton

Bank Street Writer (Apple) - Altoona

COBOL (TRS) - Hazleton

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Disk Operating System: BASIC (TRS) - Hazleton

DOS 3.0 (IBM) - McKeesport

DOS 3.3 System Master (Apple) - Berks, McKeesport

DOS 6.0 with Basic (TRS) - Allentown

General Ledger (TRS) - Hazleton

Hayes Terminal Program (Apple) - Ogontz

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In house generated (Apple) - Altoona, (TRS) - Fayette

Inventory Control (TRS) - Hazleton

Macterminal (Apple) - Schuylkill

Macwrite/Macpaint (Apple) - Schuylkill

Micromodem II (Apple) - McKeesport

Mousepaint (Apple) - Schuylkill

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Software Index Continued
5/11/85

OMNITERM (TRS) - Hazleton

Payroll (TRS) - Hazleton

pfs:File (Apple) - Berks, Mont Alto, Ogontz

pfs:Report (Apple) - Mont Alto, Ogontz

Pilot (Apple) - Behrend

Print Shop (Apple) - Behrend, Berks

Profile III Plus (TRS) - Hazleton

Project Manager (TRS) - Hazleton

Quick File (Apple) - Behrend

Series-I Editor Assembler (TRS) - Hazleton

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SCRIPSIT (TRS) - Fayette, Hazleton

SCRIPSIT Dictionary (TRS) - Hazleton

SuperSCRIPSIT (TRS) - Hazleton

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VisiCalc (Apple) - Altoona, Berks, DuBois

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VisiPlot (Apple) - Behrend

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Functions Index
5/11/85

Acquisitions - Behrend

Annual Report - Behrend, Berks

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Circulation records - Mont Alto, Ogontz

Computer Center access - Berks, Delaware

LIAS access - Altoona, Berks, Delaware, Hazleton, King of Prussia, McKeesport, Ogontz, Schuylkill

Library exercises - Behrend

Mailing labels - Berks, Hazleton, Ogontz

Online commercial data base searching - Altoona, Berks, Delaware, McKeesport, Ogontz

Overdue records - Berks, Mont Alto, Ogontz

Patron registration - Mont Alto, Ogontz

Periodicals check-in - Ogontz

Periodicals holdings list - Altoona, Berks, Hazleton, McKeesport, Ogontz, Schuylkill

Signmaking - Berks

Telecommunications - Schuylkill

Word processing - Behrend, Berks, Delaware, Hazleton, McKeesport, Mont Alto, Schuylkill

Workbook - Behrend, Berks

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21.1

CES Policy
Storage, Control, and Access
Computer Software

In general, computer software purchased on CES budgets should be housed in the libraries at the various locations. The libraries will be responsible for storage of, control of, and access to the software and accompanying materials placed in their facilities.

Circulation of software should be on the same basis as other library materials; as these are extremely fragile materials, circulation may need to be more closely regulated, however. It will be the responsibility of the borrower/user to inquire about and adhere to any specific contractual agreements that may have been made when the software was acquired as well as to the provisions of the copyright laws applying to the use of these materials.

In all cases, software which may be purchased on University Libraries budgets will be cataloged, classified, and entered into the LIAS database and will, in general, be available for intercampus loan.

Rationale:

An awareness of these materials and appropriate control is important for the entire academic community. The libraries as formal structures for housing interdisciplinary material in all formats should serve as a central repository for computer software and provide bibliographic access to and control of this material for the wide range of users that make up their clientele.

August 16, 1984

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21.1.1 Software Policy Guidelines

a. The first year will be experimental and the policy will be reviewed after that period. The review and revision as appropriate should take place Spring Semester 1985/86.

b. The software should be held as reserve material and special provision should be made to have all patrons sign for the software.

> Suggested wording: **"In using this software I acknowledge that I am responsible for observing all copyright laws and licensing agreements in force."**

The statement should be dated and filed.

c. Special care will need to be taken in determining appropriate loan periods which may need to vary significantly. Loan for one semester would seem maximum. Loans beyond that may mean the item should be purchased and/or housed elsewhere since such long loans are not in the spirit of the policy.

d. Head Librarians are responsible for knowing the copyright and/or licensing agreements in force for the software entrusted to the library.

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1/28/85

Albert R. Mann Library
Cornell University
Ithaca, New York 14853-4301

COLLECTION DEVELOPMENT POLICY FOR COMPUTER ACCESSED MATERIAL

Katherine Chiang
Computerized Data Services Librarian

Working document
July 1985

Draft

MANN LIBRARY, CORNELL UNIVERSITY. COLLECTION DEVELOPMENT POLICY FOR COMPUTER ACCESSED INFORMATION. WORKING DOCUMENT - JULY 1985

I. Introduction.

There should be no discrimination against information because of its format. This is the premise which lies at the heart of the library's involvement in, and commitment to, the collection and provision of access to information in machine readable formats.

However, the actual creation of a software and machine data collection and the concommitant services requires point by point decisions of policy based on refinements of the basic premise. Once policies are set procedures can be created for the day to day work of the program.

An initial refinement of the basic premise is that the computer readable materials are to be integrated into the library's existing collection and service policies are much as possible.

There are two major areas of discussion: the development of the collection, and the services the library will provide to allow access to that collection.

II. Collection Development.

A. Function and audience

- Library/laboratory - premise: The collection is part of an academic library, not a laboratory or public library. A parallel can be drawn to our focus on printed primary sources over secondary textbooks, laboratory manuals, and popular "how to" works.

- policy: A distinction is drawn between library/laboratory materials and their audience, academic/public.

B. Formats

- Access - premise: We provide access to the information we collect in the library.

- policy: we provide microcomputer software that can only be used in the Microcomputer Center, therefore we are limited to software which will run in our machine environment. Likewise we are limited to mainframe tapes that can be supplied to run on our mainframes and online systems that can be accessed using the hardware we own. We will purchase hardware if software produced uniquely for that hardware is essential for our collection.

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C. Environments

1. Software

a. subject applications can be divided by how they can be used in the Micro Center: CAI, and laboratory or library function applications.

- Education/instructional, CAI programs - premise: these programs are written to teach the user (examples - population modelling, Mendelian genetics, speed reading), they require no addition of data from the user, their function parallels the programmed learning texts which the library does not purchase.

- policy: we will not purchase, unless it falls within our Reserve guidelines, we are not obligated to add a package that is a course requirement.

- Decision aids - premise: Decision aid programs combine programs or formulae and resident data with data from the user into their final results. This sequence parallels the process patrons follow in the library as they gather data and analytical techniques from the literature to combine with data they have gathered.

- policy: we will purchase relevant packages. But we will not collect more than one package using the same data and formulae unless the variations in overlay programs are of interest.

- Analysis - premise: Analysis programs contain only manipulations and require all data be input by the user. Their closest print parallel are collections of formula, methodology, or techniques.

- policy: we will purchase relevant packages. But we will not collect more than one package using the same formulae unless the variations in the overlay program are to be studied.

- policy: for both of the above we will purchase relevant packages as required by research and course activity, but not as a substitute for patrons purchasing a package for review or evaluation of their own.

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b. generic applications

- Information control - premise: the library has a responsibility to assist patrons in the control of published information, especially bibliographic information. Software packages that handle and process published information are in our collection scope. They are listed in decreasing order of importance.

-Bibliographic file management - specialized database management programs for reference/citation records requiring primarily textual, rather than numeric, manipulation. Functions include ability to import external files (downloading), enter records manually, search files, and user formatted output.

-premise: these packages mimic the macro library function of literature control at a micro level, and are of primary interest.

-policy: we will develop and maintain a library collection of packages, in either working or demonstration versions.

-Expert systems - decision aids requiring the creation of a 'knowledge base' (raw data) and an 'inference engine' (analytical program) which moves the data through analytical steps.

-premise: these programs can crudely imitate the reference functions of a library and thus are of interest.

-policy: we will collect selected packages, in either working or demonstration versions.

-Online search aids/gateway - programs that provide an interface between the online searcher and the database.

-premise: we instruct patrons in any and all methods of information retrieval, these packages are a natural extension of our online search instruction program.

-policy: we will collect selected packages, in either working or demonstration versions.

-Communications - programs that establish protocols for data transfer between computers, allowing remote access to databases.

-premise: these packages are necessary for access to external databases.

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-policy: we will collect selected working packages, primarily for use with our online services.

-Indexing - sorting program that aid in the creation of book or article indexes.
-premise: these applications organize and retrieve information at the level of the individual publication.

-policy: we will collect selected working or demonstration packages.

-Data management, data entry - information (text and numeric) management and manipulation programs.
-premise: these applications can be used to organize and retrieve information, and data files are sometimes formatted to be 'read' using these programs.

-policy: we will collect selected working packages.

-Word processing - programs that manipulate text.
-premise: these are marginal to our collection scope, except as an adjunct to a primary interest program, or as a tool of analysis.

-policy: we will collect representative packages.

-Spreadsheet - programs that manipulate numeric data, especially in tabular form.
-premise: these are marginal to our collection scope, except as an analysis tool, and data files are sometimes formatted to be 'read' using these programs.

-policy: we will collect representative packages.

-Statistical - programs that performs statistical analyses on numeric data.
-premise: these are marginal tools to our collection scope, excpet as analytical tools.

-policy: we will collect representative packages.

-Critical path - project management program that can build and analyse schedules based on a set of user defined variables.
-premise: this is marginal to our collection scope.

-policy: we will collect a representative package.

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-Authoring - structured programs which create computer aided instruction programs.
-premise: this is marginal to our collection scope.

-policy: we will collect a representative package.

-Graphics - programs that manipulate images rather than text or numeric data.
-premise: this is marginal to our collection scope.

-policy: we will collect a representative package.

2. Data - both microcomputer readable and mainframe data, including textual/numeric data (usually in tabular form), full text (complete documents), calculation (data sets and supporting manipulative programs), directory, and reference. Computer readable data can be duplicated in print. Some data is still at the level of random numbers, with no documentation or codebook descriptions.
- Formats - premise: data in these formats parallel our other primary sources.

-policy: we will collect data to support the teaching (including library sponsored workshops or seminars) and research activities of our patrons.

- Documentation - premise: undocumented data are a computerized equivalent of research notes and statistics on paper.

-policy: we will not collect undocumented data, it will be left to the individual researchers to locate and contact each other for this information. We will archive Cornell data with a minimum amount documentation.

- Duplication with print - premise: data in computer readable form is frequently easier to manipulate than print data.

-policy: we will duplicate print material when the computer-readable format gives patrons more flexibility for data analysis. The analysis software must be available, or included with the program. If analysis programming is required we will purchase data only when requested by patrons willing to do their own programming.

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3. Online - remote databases requiring telecommunications connections for access.
-premise: non-bibliographic databases parallel the bibliographic databases.

-policy: we will obtain access to any quality online databases, both subject specific and general, subject to the following criteria:
a. they are within our collection scope
b. they provide either additional information, or additional flexibility of access to information we already have.
Faculty recommendations or knowledge of a database can be a factor in this consideration.

D. Selection procedures

1. Selection will follow the RLIN conspectus whenever possible.

2. We will use catalogs (print and online) and other sources to learn about available packages.

3. Initial selection will be for packages meeting our subject specifications and machine requirements.

4. If there is only one package in a relevant field we will purchase it.

5. When there are similar programs they will be evaluated using faculty experience or other consulting expertise if possible. Otherwise published reviews, comparative reviews and actual work with the programs or demonstration versions will be used.
Other factors that might influence our purchase of a program would be if they were heavily used on campus, anticipated to be heavily used on campus (as perceived by the selector or as indicated by patron requests), or were updates of programs already owned.

6. Any online databases that require subscriptions fees will be reevaluated at regular intervals. Start up costs and subscription fees will be charged to the computer materials budget.

7. The initial subject applications selection will be concentrated in two directions:
a. areas where subject programs exist.
b. areas with faculty active in computing.

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III. Services.

A. Levels of support

1. Reference level: aware of what is available, or where packages are indexed; referrals to local consultants, in-house and on campus; minimal working knowledge of a program.

2. Formal group instruction: concepts and/or use of categories of packages or individual packages.

3. Expertise/consultation: individual instruction/advice on the concepts and/or use of categories of packages or individual packages. Requires a in-depth knowledge of the categories or individual packages.

B. Generic applications:

-Bibliographic file management - specialized database management programs for reference/citation records requiring primarily textual, rather than numeric, manipulation. Functions include ability to import external files (downloading), enter records manually, search files, and user formatted output.

-policy: we will develop and maintain an expertise in these packages. We will be aware of all relevant packages and have examples of as many packages as possible in the collection. We will instruct patrons in the selection of packages and their use.

-Expert systems - decision aids requiring the creation of a 'knowledge base' (raw data) and an 'inference engine' (analytical program) which moves the data through analytical loops.

-policy: We will develop services at an expertise level, both as a tool for internal use and for patron assistance.

-Online search aids/gateway - programs that provide an interface between the online searcher and the database.

-policy: we will maintain a working knowledge of these packages for our search services, and for use in the end-user search service, if warranted.

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-Communications - programs that establish protocols for data transfer between computers, allowing remote access to databases.
-policy: we will maintain a working knowledge of these packages for use in our search services and end-user search instruction.

-Indexing - sorting programs that aid in the creation of book or article indexes.
-policy: we will maintain a working knowledge of these packages through professional use of them for our writing projects.

-Data management, data entry - information (text and numeric) management and manipulation programs.
-policy: initially we will offer instructional/reference services, eventually we will offer reference only, referring patrons to other consultants on campus.

-Word processing - programs that manipulate text.
-policy: initially we will offer instructional/reference services, eventually we will offer reference only, referring patrons to other consultants on campus.

-Spreadsheet - programs that manipulate numeric data, especially in tabular form.
-policy: initially we will offer instructional/reference services, eventually we will offer reference only, referring patrons to other consultants on campus.

-Statistical - programs that do statistical analysis of numeric data.
-policy: we will offer minimal reference service on these programs, referring patrons to other consultants on campus.

-Critical path - project management programs that can build and analyse schedules based on a set of user defined variables.
-policy: we will maintain a reference level of service for these programs.

-Authoring - structured programs which create computer aided instruction programs.
-policy: individuals on the Mann staff who use the program will maintain a working knowledge of the

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package.

-Graphics - programs that manipulate images rather than text or numeric data.
-policy: we will offer minimal reference service on these programs, referring patrons to the other consultants on campus.

C. Subject applications - to be described after Phase II.

D. Education/CAI packages - see separate Reserves Statement.

E. Data
-premise: data that require specific analysis packages resemble print materials in different languages. We do not supply translations of non-English works.

-policy: we will supply reference help on data and the analysis packages, but the patron must know, or learn how to use the program. Data is usually offered compatible with one or two 'standard' analysis packages; we will develop expertise in those common 'analysis' languages.

-premise: CISER has developed an excellent method of helping researchers extract data from mainframe tapes and that organization should not be duplicated unless absolutely necessary.

-policy: we will supply referral help on mainframe data, a knowledge of CISER's holdings and what they need to know to extract data, we will download data after CISER has performed the extraction.

F. Online
-premise: these services parallel the bibliographic online databases.

-policy: we will develop the expertise level necessary to offer a search service as we do for bibliographic databases. This will be done by the Computerized Data Services Librarian, with the Coordinator of Online Search Services as backup, until use reaches levels that cannot be managed by one person.

G. Reserves - see Reserves Policy

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H. Additional Services - additional service areas are natural given the premise we have a responsibility to assist patrons in the control of published information.

-policy: we will provide expertise level service on small database construction.

-policy: we will provide expertise on computer-readable collections academic libraries.

-policy: we will provide reference level service on electronic technologies for information transfer, such as videodisk and videotext.

-policy: we will provide referral to campus computer users willing to help patrons. The initial list of 'consultants' will be compiled during Phase II.

-policy: we will house on-campus evaluations of software for patron reference.

IV. Relation of Mann computer activities to campus computing.

Mann Library Microcomputer Center

-collections: all Mann Library public access software is housed in the Micro Center. Selection of the bibliographic file management software is coordinated with the head of the Center.

-services: presently the Center provides instruction in generic programs, public services in bibliographic file managers. Public Services also offers "traditional" bibliographic instruction and orientation to Mann Library. The Micro Center, with other members of the Mann staff, teaches general software (word-processing, database management, spreadsheets). Both groups often teach workshops components of CALS and CHE courses. [HC]

As time goes on, Mann will concentrate its instructional program more and more on its 'core' areas of database access, the local control of information (with a focus on bibliographic and textual information) downloaded from online databases, the design of "small" databases (those that run on a microcomputer), and the design of "small" expert systems. This may result in a realignment of instructional assignments, with the possibility that Public Services and the Micro Center staff will more

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frequently work together. In general, Public Services staff will provide strength with their knowledge of the contents of online databases and local data files, and their expertise in searching these systems. The Micro Center will concentrate on the technical issues of software structure and behaviour. [HC]

Riley-Robb, Warren, and Martha Van Rensselaer Computing Centers

-collections: complementary to Mann's, their focus is on programs as supplements to teaching activities.

-services: complementary to Mann's, to support their holdings only.

CISER

-collections: CISER's holdings are all mainframe tapes, we will duplicate, in floppy disk format, any material that would be more useful held locally.

-services: CISER works with our patrons on data extraction, they do the programming, we download the data sets from the mainframe for the patron. In future, if the programming for our patrons could support a full time programmer, we might want a programmer in the library.

CCS

-collections: there is some overlap with the Uris Software Lending Library. But CCS seems to intend to divest themselves of the collection.

-services: some instructional activities overlap in content, but not in audience. They are doing some evaluations, we get copies of those evaluations.

CALS/CHE/DNS/DBS

-collections: individual faculty have software, none are public access, that I have found.

-services: several departments have a designated 'computer' person, there is no overlap with our services. The Microcomputer Evaluation and Development Facility is reviewing software, we get copies of those evaluations, there is no overlap.

Mann Library, Cornell University. Collection Development Policy for Computer Accessed Material. Working document - July 1985.
-12-

CUL

-collections: there are no collections at present, in future we would overlap in some generic programs.

-services: evaluation of gateway systems will be coordinated to prevent overlaps.

EXTENSION

-collections:
-services:
These areas will be described after Phase II.

General comments:
Overlap is appropriate in collections, and workshops/seminars, if the audience is different. Overlap would not be appropriate in evaluations.

spec
OMS
System and Procedures Exchange Center

Use and Circulation Policies

COLUMBIA UNIVERSITY

SOFTWARE HANDLING - INTERIM GUIDELINES
September 30, 1985

Units may obtain software and/or machine readable data (mrd) on disks by gift, deposit, or purchase, or by purchase of print materials to which disks are appended. The following guidelines will be considered in effect until further notice.

1. Generally, data should not be acquired for equipment other than IBM PCs and/or MacIntosh (and Apple at HSL), because these microcomputers are available for use on campus and because there are active user groups for each at Columbia.

2. Disks will generally be kept on reserve or in other secure areas. Some exceptions may be made for disks which are issued as part of a printed work (e.g., a printed monograph + disk).

3. Guidelines for physically handling disks:

    a. Disks should not be placed in book-drops
    b. They should never be placed in book desensitizing equipment

4. All mrd, including software, and their accompanying documentation acquired by the Libraries must be cataloged. BCD will notify Services when it is ready to catalog mrdf. Until that time, individual units should control mrd bibliographically locally as it sees best and with as little resource expenditure as possible. No attempts to catalog this material locally should be made.

5. Circulation policies for all data, except software, will be governed by existing reserve circulation policies and fines schedules. Disks which are issued as part of a printed work will be treated as if they were printed material. Some data may be restricted to in-house use when appropriate.

6. Software will circulate for 2-day periods. Fines of $1 per day (no maximum; half-price for in-person payment upon return) will be levied.

7. Whenever possible, a circulating copy will be made and the original archival copy kept in a secured place. Licensing restrictions will not be violated, however; original copies should be made available for use under restrictive conditions (i.e., in-house use only).

8. Borrowers who damage or lose disks will be charged full replacement costs plus $20/title processing fees.

9. All borrowers must be asked to sign a brief statement which states that they may not copy, attempt to copy, nor lend software not in the public domain. Users refusing to sign the statement will be denied access to relevant software. The attached form has been approved by University Counsel; no other form may be substituted. All packages in which disks are circulated should be marked "COPYING PROHIBITED."

10. Borrowing regulations should be posted in each unit.

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Library Policy Regarding Copyrighted Computer Software Programs

It is the policy of the UCR Library to comply with provisions of the Federal Copyright Act, any applicable University policies, and other lawful rights or restrictions applying to the acquisition, use, reproduction, and distribution of computer software programs.

In carrying out this policy, the University Librarian and/or designated library staff will be responsible for:

1) Keeping Library staff informed with regard to their responsibilities under this policy;

2) developing and maintaining systems for control over reproduction and distribution of computer software programs owned by the library; and

3) consulting with University officials and/or University Counsel as necessary when questions and issues arise with regard to the acquisition, use, reproduction, and distribution of computer software programs.

UCR Library employees shall not make copies of computer software programs if copying would constitute a violation of this policy. Copies of computer soft ware programs acquired by the Library may not be made for personal use.

9/30/85

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VIRGINIA POLYTECHNIC INSTITUTE AND STATE UNIVERSITY

VIRGINIA TECH

Software Use Policy

1. All ongoing, business applications of software will be undertaken with legally obtained copies.

2. Backup copies will be made as needed.

3. Copyrighted software will not be reproduced for use at multiple sites.

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A GUIDE TO THE RESOURCES
OF THE AUDIO-VISUAL DEPARTMENT
THE MILTON S. EISENHOWER LIBRARY,
THE JOHNS HOPKINS UNIVERSITY,
BALTIMORE, MARYLAND

Microcomputer Lab

MICROCOMPUTER LABORATORY
A-LEVEL
338-8354

HOURS
M-F 9-10
Sat. 10-10
Sun. 1-10

HARDWARE

The Microcomputer Laboratory, located in the Audio-Visual Department, currently houses IBM Personal Computers and DEC Professional 350 microcomputers.

The IBM PC's each have from 192 to 512K internal memory and two 320K diskette drives. One PC has a color monitor with graphics capability, and a color printer. The other PC's have monochrome monitors and a choice of either letter-quality or dot-matrix printers.

The DEC Professional 350's each have 512K internal memory, 10 megabyte hard disk drives and two 400K diskette drives. Configurations of monochrome or color monitors and letter-quality or dot-matrix printers are available.

COMMUNICATIONS

Eight of the microcomputers can communicate with the University Computing Center's IBM 4341 and the Engineering Computing Facility's VAX-11/750 and VAX-11/780.

SOFTWARE

The Lab's software collection is shelved in closed stacks and must be requested from the AV Department's service desk. The software circulates for Microcomputer Lab use only.

The Lab features a variety of software packages, such as dBase II, Lotus 1-2-3, Framework, and BASIC, Pascal and FORTRAN compilers. Word processing packages include WordPerfect and Volkswriter Deluxe. Manuals are available for all the software and some programs have separate or integrated tutorials which allow "hands-on" learning.

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SOFTWARE, continued

All of the PRO 350's have PROSE and EDT (text editors). CT*OS, a word processing software package, is available for three of the DEC microcomputers. Other software available includes BASIC, FORTRAN and Pascal compilers, and DATATRIEVE (data base manager).

A complete list of software is available in the AV Department.

DOCUMENTATION

Hardware and software documentation is available for the microcomputers. Software documentation is also available for the IBM 4341, the VAX-11/750 and the VAX-11/780.

USE OF THE LAB

Patrons wishing to use the Lab should have some familiarity with microcomputers since the staff will provide only limited assistance. Time in the lab may be scheduled for up to three hours per day. Scheduling may be done in person or by calling the AV Department at 338-8354. Patrons must provide their own blank diskettes.

If you would like additional information about the Microcomputer Lab, please call or visit the Audio-Visual Department.

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8/85 PJ

PCL MICROCOMPUTER CENTER - POLICY

The PCL Microcomputer Center Policy is intended to document generally agreed upon policies regarding the mission and operation of the Center for General Libraries staff, and to serve as a basis for specific procedures to be used in training Center staff.

I. Purpose.

The PCL Microcomputer Center is intended to provide general access to microcomputers by University of Texas at Austin students, faculty, and staff; to provide end user searching (U-Search); and to accommodate the Project Quest grant, a one-year project to evaluate the effectiveness of providing software and hardware in the library setting for support and enhancement of teaching and research activities. The PCLMC will be located in Facilities and Support Services, PCL 1.102B.

II. Use

Users. The Microcomputer Center is open to University of Texas at Austin students, faculty, and staff. A currently validated UT identification card is required to schedule a microcomputer or to charge out software for room use only.

Staff. The Facilities and Support Services Administrative Clerk will supervise the Microcomputer Center. Responsibilities will include hiring, training, scheduling, and supervising Clerks; keeping equipment and software in good condition; and preparing statistics. Clerks will schedule the microcomputers; answer users' questions; charge out software; process materials for circulation; report hardware/ software problems; keep statistics. Library Assistants (supervised by the PCL CIS Coordinator) will assist users with U-Search, take telephone reservations, help with the preparation of user aids, and collect statistics.

Equipment and Supplies. At the time it opens, the Microcomputer Center will make available eleven IBM personal computers and ten printers. Two PCs will be reserved for U-Search users during certain hours. Additional IBM equipment or Apple equipment may be added later. The Microcomputer Center does not provide floppy disks for users; paper and ribbons will be provided for printers. (For especially good copies, users can provide personal ribbons which will be installed by PCLMC staff.)

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Schedule: The PCLMC will be open for general use from 10 a.m. until 10 p.m. Monday through Saturday and from noon to 10 p.m. Sundays; U-Search will be available from 6-9 p.m. Sunday through Thursday. [Note: on days open between December 2 and January 17, PCLMC hours will be 10 a.m. until 5 p.m. Monday through Friday. U-Search service will begin January 20.] Microcomputers are reserved on a scheduled basis. To assure maximum use of the machines at all times, unscheduled PCs are available to walk-in users. Microcomputer or U-Search reservations may be made up to one week in advance, in person or by phone. Software may not be reserved. Microcomputers may be reserved for two-hours; use may continue in one-hour blocks until the next reservation. Reservations will be held for ten minutes for late comers, but will be reassigned after that time. Software charged out must be returned at the end of the block. All software and documentation charged out is due at 9:45 p.m. U-Search service is scheduled for half-hour sessions.

III. Software and Documentation.

Software Selection. Software is selected from the following general categories: applications software for disciplines and professions supported by the curriculum; software produced by other Project Quest researchers, either in conjunction with specific courses or specific subject majors; other commercially or locally produced computer-aided-instruction for use with teaching; commercially produced bibliographic or statistical databases; and library use instruction software, either commercially or locally produced. A limited amount of word processing software will be provided. Software will be selected initially by the Project Quest project coordinator, who will also consider suggestions from users for additional software acquisitions.

Acquisition. Software and documentation is acquired and cataloged through Bibliographic Control.

Circulation. Software and documentation is charged to users for use within the PCLMC only. Software and documentation is protected by the copyright law, and may not be copied. A currently validated UT ID card is used to charge out this material. Clerks are responsible for ensuring that software and documentation is complete when charged out and when returned. Note: Users may bring in and use their own software.

Access. The PCLMC will make available a printout that lists currently available software and documentation.

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IV. Maintenance

The Facilities and Support Services Administrative Clerk will be responsible for equipment maintenance and repair. Records will be maintained on equipment problems to monitor durability of hardware. Note: Project Quest will maintain and repair equipment for the duration of the project; after that, it will be maintained by the General Libraries.

V. Security and Copy Protection

To ensure maximum security, microcomputers will be housed in a secure, supervised area in PCL 1.102B. Microcomputers and users will be directly visible to staff.

To discourage copying of software, each user will fill out a circulation card bearing information about the copyright law. Users must sign this card, ensuring that they are familiar with the copyright law; all attempts to copy software will be considered as infringements of this law.

Emergency evacuation procedures will be posted.

VI. Statistics and Evaluation

The Facilities and Support Services Administrative Clerk will be responsible for collecting and compiling statistics for the PCLMC, in conjunction with the Project Quest Coordinator. Library Assistants will be responsible for U-Search statistics.

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PCLMC - PROCEDURES

This document is intended to provide basic information to PCL Microcomputer Center staff about the operation of the Microcomputer Center, and is based on the PCL Microcomputer Center Policy; both documents will be revised as necessary after the Center is in operation and policy and/ or procedural questions arise.

I. Hours of Operation. The PCL Microcomputer Center will be open for general use from 10 a.m. until 10 p.m. Monday through Saturday and from noon to 10 p.m. Sunday; U-Search will be available from 6-9 p.m. Sunday through Thursday. [Note: From December 2 through January 19, the PCLMC will be open 10 a.m. to 5 p.m. Monday through Friday only. U-Search service will begin January 20, 1986.]

II. Reservations. UT Austin students, faculty, and staff can make reservations up to one week in advance for general use of a microcomputer or for U-Search, either in person or by telephone. Microcomputers can be reserved for two-hours; use may continue for up to one additional hour if not reserved by another user. Reservations will be held for ten minutes for late arrivals, and will then be assigned to walk-in users. U-Search reservations are for one-half hour.

To make a reservation:

A. Ask if caller is a UT Austin student, faculty member, or staff member.
B. Record user' s name on log.
C. Block in log for length of time reserved.
D. Remind user that reservation will be held for ten minutes only.
E. Remind users to bring their own supplies (particularly disks).
F. When user arrives, check user' s ID to ensure that user is a UT Austin student, faculty member, or staff member, and that the ID belongs to the person presenting it.

III. Charging materials. Software and documentation are charged to users for use within the PCLMC only. Software and documentation are protected by copyright law and may not be copied. Clerks are responsible for ensuring that software and documentation is complete both when charged out and when returned. Users may bring in and use their own software.

A. Obtain user's currently validated UT identification card.

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B. Have user fill out and sign statistics card, thereby stating that he has read and agreed to abide by the copyright statement.

C. Write the assigned computer's number on the statistics card.

D. Clip the identification card and circulation card together and file.

E. Give the user the documentation and software, after checking to make sure materials are complete.

F. Remind user to return documentation at the end of the reservation period (or at 9:45 p.m. for closing.)

G. Upon return of the software and documentation, check to make sure material is complete before returning ID card.

H. File circulation card.

I. If necessary, adjust the entry in the log to reflect actual amount of time spent at the computer.

IV. Hardware and Software Problems.

A. In case of complaints from users about malfunctioning software or hardware, attempt to determine the cause of and correct minor problems. If it cannot be corrected, ask user to fill out a Problems Report and give to the Administrative Clerk. Be as specific as possible.

B. If the problem cannot be corrected immediately , try to give user a different copy of the software or schedule the user at a different PC.

V. Security precautions. To ensure maximum security for equipment and software, follow these precautions:

A. The PCL Microcomputer Center is to be supervised at all times. Staff are not to leave the PCLMC unsupervised at any time.

B. Staff are to monitor use of the Center closely.

C. Software and documentation may not leave the PCLMC, even for a short time.

D. Staff are to read the Emergency Manual. The rear exit is for emergency use only, in case of fire. The door is alarmed and under surveillance by guards.

E. Follow established opening and closing routines.

F. Telephone/s are for staff use only.

VI. Opening and Closing Routines.

Opening. The PCLMC will open at 8:00 a.m. Monday through Friday at the same time Facilities and Support Services opens. The PCLMC will not be staffed until 10:00 a.m., but may be used by library staff, on an unassisted basis, before that time.

Saturday and Sunday opening routines for Clerks:

A. Open the door to 1.102.

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B. Turn on lights in the reception area and over the Microcomputer Center only.

C. Unlock the door to the PCLMC.

Facilities and Support Services closes at 5 p.m. All offices within 1.102 will be locked at 5 p.m. PCLMC Clerks are responsible for supervising the area after 5 p.m. and for closing the Center at 10 p.m. Closing routines for Clerks:

A. Turn off all equipment.
B. Check-in and shelve all software and documentation.
C. File all circulation forms and reservation log.
D. Lock the door to the PCLMC.
E. Turn off all lights in 1.102B.
F. Turn off the reception area light.
G. Lock the door to the suite.

Note: All areas within PCL 1.102B except the office reception area and PCL Microcomputer Center room are off limits to users and Center staff.

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Institution-Wide Committee and Task Force Reports

COLUMBIA UNIVERSITY

Data Base Policy Committee

FINAL REPORT

April 4, 1985

Paula Kaufman, Chair
Thomas Aitken
Ann Bartel
Philip Bourne
Joseph Branin
Jonathan Cole
Harriet Grossman
Herbert Klein
Cyrus Levinthal
Leeman Perkins
Maxine Reneker
Robert Resnikoff

COLUMBIA UNIVERSITY

DATA BASE POLICY COMMITTEE

Dr. Norman N. Mintz, Executive Vice President, in his charge to the Committee, asked that it develop policies and guidelines that promote and organize access to electronic information for the benefit of the entire academic community. The Committee was charged with addressing issues of funding for the acquisition of data bases and software, systems evaluation, rules of data base access, unified bibliographic organization, documentation, consulting support, and initiation of experimental projects.

The Committee met several times in full membership and devoted much of its effort to wide-ranging discussions on various aspects of the charge and articulating the specific issues to be addressed. Committee members also read and discussed the Report of the Presidential Task Force on Information Processing, the description of issues distributed by Dr. Mintz, and a small number of documents produced by other institutions which had attempted to address some of these same issues. The latter reports proved not to be useful or relevant to the Committee's final work.

The Committee then developed a set of principles which it felt should guide the formulation of University-wide policies about data bases. These principles were used by a small subcommittee which drafted a set of policy recommendations. The Committee reviewed, discussed, and amended these recommendations which addressed issues of acquisitions, access, bibliographic access, user assistance, technology, and maintenance. The Committee also discussed the need to gather information about data bases currently available in the University and recommended that such a survey be administered.

The report which follows articulates the basic principles which informed the Committee's work and discusses briefly policy recommendations in the areas noted above. During the time of the Committee's work Project Aurora was announced and the Scholarly Information Center developed. The emergence of projects associated with these exciting activities precluded the need, the Committee felt, to address the issue of the initiation of experimental projects at this time.

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BACKGROUND AND RATIONALE

In recent years, dramatic changes in the format and availability of information have affected the ways in which many scholars engage in their research activities. Faculty, students and staff are extending their use of mainframes and microcomputers beyond word processing devices as vehicles for accessing, exploring, collecting, manipulating, and retaining information that may be of value to them. This information may be based in machine-readable tapes or disks which are physically acquired by the scholar or institution or it may be accessed interactively and/or downloaded from remotely-located online data bases through telecommunications networks.

At the present time, there is no centralization of information about data bases in the University. Nor is there uniformity of access to or support for these data bases. This has led to duplication of effort in some cases and to barriers to the use of scholarly information in others. The statutes of the University assign responsibility for establishing and implementing policies for the development and maintenance of information resources, including printed and machine-based data, to the University Libraries. §92 of the statutes says in part:

> The University Librarian shall be responsible for establishing and implementing policies governing the development and maintenance of collections of library materials in the University. All books, serials, and other printed matter, manuscript materials, and recorded information in other forms given to the University or purchased from funds appropriated by the Trustees or given for the purchase of library materials shall be deemed a part of the libraries and shall be marked and cataloged as such.

We believe that the following principles should guide the formulation of University-wide policies about data bases:

1) Information for research and scholarly purposes is a University-wide resource that, regardless of its format, should be available to all members of the University community.

2) The purchase of and access to data bases should be based upon the broadest spectrum of use, should not favor wealthier segments of the University, should recognize the continuing need for individuals and departments to access data bases on their own computers, and should recognize the private or confidential nature of some data bases.

3) Access to some data bases may need to be on a cost-recovery basis because of the large sums of money needed to purchase or access them.

4) The University should provide access for its community to the widest scope of data bases possible.

5) There should be bibliographic control and access to as many data bases as possible in the University.

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6) The Scholarly Information Center, including its specialized subject nodes, should provide users with several tiers of services to assist them in the selection of information sources and the selection and use of data bases accessible at the University.

7) There should be adequate technical capabilities to provide support for the data bases needed by the University community.

8) Data bases installed on the University computing facilities should be maintained and kept up-to-date.

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POLICY RECOMMENDATIONS

ACQUISITIONS

1) There should be a committee, composed primarily of faculty and researchers, to advise the Scholarly Information Center on establishment of broad guidelines for the acquisition of data bases and to review the guidelines annually. The guidelines will be similar in nature to CUL's collection policy guidelines and will take into account technical considerations. The committee will be appointed by the Executive Vice President for Academic Affairs in consultation with appropriate academic and administrative personnel. Consideration should be given to asking the Senate Library Committee to assume this function. (See Appendix A for draft survey form)

2) The Scholarly Information Center should designate funds to support the acquisition of data bases. It should also undertake an investigation of the sums being spent on data bases throughout the University and recommend ways to centralize these activities in order to avoid redundancy.

3) Drawing upon these funds, the Scholarly Information Center will be responsible for selection and acquisition of appropriate data bases. These decisions should be made in consultation with representatives from specialized subject nodes (such as the Center for the Social Sciences) and with users familiar with relevant resources. Among the factors to be taken into consideration in the acquisitions decision are: adherence to centrally-set guidelines, cost, potential use, technical requirements, adequacy of documentation, and software support.

4) The Scholarly Information Center should explore the possibility of undertaking cooperative efforts with other research institutions (especially through Columbia's participation in the Research Libraries Group) to share in the acquisition of and access to data bases.

5) The Scholarly Information Center, in conjunction with specialized service currently in operation at the University, should operate a central acquisitions agency to be used when data bases are to be purchased by the University. In addition to the expert advice on computer requirements, contractural arrangements, and quality of data bases the central agency would give, this arrangement will help to ensure that information about data bases is available to the entire University community. Information about alternative sources of information should also be provided.

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ACCESS

1) Any data base at the University that is in the public domain or available commercially should be accessible to the Unversity community.

2) Data bases that are not in the public domain, not available commercially, and not considered public by their owners are private.

3) There should be incentives for individuals and departments to make their data bases accessible to the University community. This might include, but should not be limited to, discounts on computer use and access fees to other data bases or reduced cost for the maintenance and service of data bases.

4) Documentation for data bases available on the central facility should be purchased, cataloged as quickly as possible, and made available in the Libraries.

5) Departments or individuals who control accessible data bases (i.e., purchased with University funds, non-private, and non-confidential) on their own machines should be required to allocate a specified small percentage of computer time to University community use of the data bases.

6) All restrictions on access should be noted in access records.

BIBLIOGRAPHIC ACCESS

1) There should be a data base directory providing brief information about data bases (including software) at the University. University personnel should have the obligation to list all non-private data bases in the directory, which the Scholarly Information Center will make available as a special file in CLIO. Any restrictions on access should be noted. This directory will be searchable (at a minimum) by author and title words. Information will be gathered through selected records of the central purchasing agency and an annual survey.

2) Private data bases will be handled in two ways:

   a) listed: descriptive information about the data base is listed, along with access restrictions.
   b) unlisted: no information about the data base is given.

3) Data bases (and software) available on the central facility should be fully cataloged and the records should be available in CLIO. All data bases will be cataloged as quickly as possible until that time when data bases may be purchased as research materials in anticipation of future research.

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USER ASSISTANCE

1) Consulting and user support services for most data bases should be available to the entire university community. The Scholarly Information Center will provide general support and fill the gaps that departmental support cannot handle.

2) Services available at no cost to the university community should include information identification and accessibility services, program documentation questions, problem solving, and diagnostic services. Basic training should be offered.

3) Central support should not be provided for private unlisted data bases.

4) Extensive computer programming assistance should be available on a fee for service basis.

5) Once a data base has been acquired for the central facility there should be a commitment to acquire or prepare adequate documentation for its use. In some cases this will require the preparation of new documentation or improvmenet of existing instructions. This will be undertaken by Scholarly Information Center staff. These services will also be provided for widely and heavily used data bases not located on the central facility.

6) Information services may be provided centrally or by departments. Units that are funded centrally for these services will provide them on a cost recovery (or partial cost recovery basis). Other units may need to charge for access fees and consulting/service time.

7) The Scholarly Information Center, although not in a position to provide legal advice or assistance, will supply information to users about contractual and legal restrictions on the use, copying, downloading, or further dissemination of specific data. CUL will continue to maintain its producer and vendor files and both CUL and CUCCA, in order to assist users in gaining information about downloading and in requesting prior written permission for downloading, will provide copies of existing data base policy statements, addresses of data base producers, and guidelines for the format of downloading requests. CUCCA will provide the same services for requests for copying or reuse of its data bases and software.

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TECHNOLOGY

1) Technical capacity must be available to support data bases and must be considered at the time of data base acquisition.

2) Long-range planning for the computing infrastructure must estimate the growth of data base use as well as changes in technology.

3) A technical architecture should be designed that permits growth to take place gracefully.

4) A system to monitor use of data bases on the central facility should be established to provide for evaluation of the data base and related decisions. Data bases that are determined to be of little interest to users can be deaccessed or moved to storage.

5) Once general data base policies are agreed upon, issues of technical and financial support can be addressed. The rate of implementation of policy will depend on these support levels.

MAINTENANCE

1) Data bases maintained on the central facility will be kept up-to-date.

2) No central maintenance functions will be provided for private unlisted data bases.

3) Data bases located on departmental or individual computers should be kept up-to-date.

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APPENDIX A

Data Base Survey

The Center for Computing Activities and the University Libraries, in support of the Scholarly Information Center, are seeking to identify academic research and information data bases present on University computers (microcomputers included). Information about data bases which are not private will be made available to the entire University community through CLIO (Columbia Libraries Information Online). Data bases at the University which are in the public domain or available commercially will be accessible to the entire University community. Information about data bases present on University computers will be used by the Scholarly Information Center to assist researchers in need of information and to rationalize its acquisition of data bases.

Please provide the following information for all research and/or information data bases on your computer systems (including remote data bases accessed):

A. Name of data base

B. Please describe biefly the information contents of this data base, providing several appropriate subject descriptors

C. Author's (compiler's) name(s)

D. Owner's name and ownership status

__ public
__ proprietary
__ private
__ other

E. Size of data base (in megabytes)

F. Format of data base (sequential or random, record length, ASCII or EBCDIC, etc.)

G. Name of specialized programs (if any) used to access this data base

H. Type of specialized equipment (if any) needed to access this data base

I. Documentation available to support this data base

J. Contact person and phone number

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Stanford University
INFORMATION TECHNOLOGY SERVICES
Jordan Quadrangle, Stanford, California 94305

Office of the Director

December 1, 1985

The attached document is the report from the I.T.S. Task Force on Supported Systems. The report, now accepted by the management of I.T.S., contains the "Supported Systems List" as well as a description and a discussion of the meaning of the phrase "levels of support". It also includes a description of the criteria that are used when considering systems for support. The I.T.S. Supported Systems Committee is now formed and is meeting on a regular basis.

If you believe that the Committee ought to consider some specific system for inclusion on this list, you need only communicate that, along with some system particulars, to the Supported Systems Committee. Any such request must be in writing (either in paper or electronic form) and will need to include the following:

> Your name, Stanford organizational affiliation, and your office (and electronic, if applicable) mailing address.
>
> The specific product beings suggested. This should include the product name, any model numbers, the manufacturer's name and address, and any other facts that will help to identify the correct product.
>
> Your reasons for suggesting that the product be added to the supported list. In providing these reasons, please be guided (but not limited) by the list of criteria provided in the report.

Send the request, if it is in paper form, to:
Supported Systems Committee
Polya Hall - I.T.S.
or, if it is in electronic form, to:
GE.DIS (and set the subject as "Supported Systems Committee")

The Committee will try to act on your request as rapidly as possible. Unless it is possible to provide a positive or negative response in a very short time, you will receive notification informing you of the schedule for the system's consideration (in many cases, it is expected that samples of the product will have to be obtained, examined and tested before replying).

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STANFORD UNIVERSITY

Date: October 10, 1985

To: Edward E. Shaw

From: Cedric S. Bennett CSB

Subject: Final Report from the Supported Systems Task Force

The attached report is the result of the deliberations of the Supported Systems Task Force which met during the late spring and summer of 1985. This effort was first discussed with the ASPPG in May and then in June of this year. I believe that the report either answers or provides a good start at answering the several issues raised at those meetings.

Beyond the report itself, I have a few additional comments to add:

First, I want to thank the members of the Task Force for their efforts over the past several months. This task turned out to be larger than any of us anticipated and they all worked hard, in addition to their normal duties which did not diminish during the summer, to see that this report was ready for the Fall.

Second, I want to more fully stress a point made in the report itself. The Task Force fully understands that the notion of supported systems is meant to include all information systems technology (from micro computers to mainframes and including not only data processing, but also publishing, graphics, and communications). Because we saw that we could not manage to make a pass through all that technology in our timeframe and because we felt that the greatest need existed in the micro computer area, we concentrated on completing just that section of the supported systems list. The first attachment to the report is an outline of all the technologies that we feel should come under the proposed process.

Finally, I should point out that the scope of the report in its present form is oriented toward I.T.S. and the support services that it directly provides. As a first step I think that it is important for I.T.S. to begin to implement these recommendations; they will provide very useful guidelines to a great many of our colleagues. But I also believe that it is important to start now to take the next steps that will extend this notion to provide a more complete support package to the community. There are several very critical functions (legal, procurement, facilities, financial to name a few) that relate directly to supported systems. It is beyond the proper scope of an internal I.T.S group to deal with those issues alone.

On behalf of the Task Force, thank you for the opportunity to work on this important issue.

cc: Supported Systems Task Force

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STANFORD UNIVERSITY

REPORT FROM THE

SUPPORTED SYSTEMS TASK FORCE

10/04/1985

Task Force Members:
Cedric Bennett (chair)
Tom D'Arezzo
Chip Haven
Janet Ikeda
Steve McLenegan
Rita Moore
Lincoln Ong
Bo Parker
John Sack
Burt Stubbs
Sarah Williamson

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VII. Appendix:.....7

Attachments:

A. Categories of Supported Systems (2 pages)
B. Supported System List (4 pages)
C. List of Systems to be Considered for Support (3 pages)

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STANFORD UNIVERSITY

Report from the
SUPPORTED SYSTEMS TASK FORCE

I. Introduction:

This report is the result of the deliberations of The Supported Systems Task Force set in motion by the Management and Planning Group (MPG) of I.T.S. and with the concurrence and support of the Administrative Systems Policy and Planning Group (ASPPG). This task force was active during the late spring and through the summer of 1985.

The charge to the task force was to create an explicit list of "supported systems" and the process for maintaining that list. The term "system" refers to hardware or software components used in information technology; the word "supported" means that the owner of the particular component can be provided with a set of services designed to aid in the use and maintenance of the item.

II. Background:

One of the major recommendations of the report titled "Departmental Office Systems: Analysis and Recommendations - 1984" published in November of 1984 was that an Office Information Systems Strategy be developed. One of the reasons for this recommendation was the lack of clear guidance being provided to the growing number of offices that were choosing to obtain local systems to enhance their office systems needs. One result of this lack of information was that, in many cases, resources were being expended in suboptimal ways often resulting in unsatisfactory solutions.

It became apparent (and this was discussed with many individual offices as well as with the MPG and ASPPG) that one solution to this problem would be to provide such guidance in the form of a list of Supported Systems. This list would only include those systems that met a set of criteria for use at Stanford, and that were supported in terms of training, consulting, maintenance, installation, and the like. If the list were sufficiently full to provide for the variety of needs that would probably exist among offices at Stanford, then an important additional effect of this list would be to limit the number of different items that would need to be supported. This would allow the support organizations to conserve resources as well.

Three additional comments must be added: 1) This project to create a Supported Systems list is not the only approach to an Office Information Systems Strategy; other activities are either underway or under consideration but are not reported upon here. 2) The project was extended to include other products and services not normally thought of as a part of office information systems (e.g., mainframe hardware and software). However, the task force limited its consideration of specific supported systems to micro computer related products. 3) The notion of supported systems does not imply a prohibition on the acquisition and use of systems that are not supported, but rather assumes that some subset of the community will want to obtain devices or services that are not supported. A supported list merely informs those colleagues that they may need to make other, specific arrangements for support.

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The remainder of this report provides the conclusions and recommendations of the Task Force. These are presented in the following sections:

Process for Maintaining the Supported Systems List

Organizational and Financial Issues

Description of the Categories and Levels of Support

Description of the Supported Systems List Criteria

In addition to these sections, three attachments are provided in the appendix:

Categories of Supported Systems

The Supported Systems List

A List of Systems to be Considered for Support

III. Process for Maintaining the Supported Systems List:

Maintenance of the Supported Systems List includes adding new products to the list, making changes to the level of support for products already on the list, and removing items which will no longer be receiving support. In order to perform these tasks, a permanent Supported Systems Committee (SSC) needs to be created. Membership on the committee would come from those areas within I.T.S. who provide support to the systems as well as other I.T.S. offices that would contribute to the deliberations (e.g., Finance). This committee would meet on a regular basis and would receive and consider requests for adding, changing or removing items. In addition, the SSC would be responsible for reviewing its own procedures (and periodically reporting on that review and any refinements that were made, to the MPG). It would also have the responsibility to review any listed items as a result of automatic review provisions (this is described more fully in the section dealing with the actual list).

The general procedure is outlined here:

A written suggestion is received from a member of the Stanford community.

The SSC considers the suggestion and gives it a priority within the list of items then under consideration. More specifically:

- The SSC would determine how to acquire a unit for evaluation.
- The SSC would set the plan and schedule for the evaluation (often with the cooperation of the I.T.S. groups who would be performing the actual evaluation) and communicate that and progress against the plan to the suggestion originator.
- In some cases, the SSC may simply be able to make a decision based upon its member's collective knowledge.

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The item would be routed to the I.T.S. groups involved in the evaluation. These groups would:

- Evaluate the unit according to the criteria (described elsewhere in this report).
- Report their findings back to the SCC.

Based upon the input from these evaluations, the SCC would decide:

- Whether or not the unit ought to be supported.
- The level of support appropriate in each category of support.
- The date for future automatic review by the SCC.
- In the case of an otherwise positive decision but where there is a clear impact upon the budget of one or more I.T.S. divisions, the SCC would forward the recommendation and impact information to the MPG for consideration.

A great number of the suggestions will simply be for adding a newer version of an already supported product. In addition, there may be good reason to want to consider new products that are being added to the Microdisc list as soon as they become available. And some items may be just what a large number of offices have long been awaiting. For all these reasons, the SCC will need to have a "fast track" version of the process described above (in which much of the Committee's deliberations would not have to wait for the periodic meeting, but could be conducted via electronic mail).

IV. Organizational and Financial Issues:

The Task Force recommendation of the formation of a special committee to oversee and conduct the Supported Systems process will very likely have some impact on schedules and other activities that take place in various divisions. It could well have a budgetary impact on I.T.S. as well. In this section, we have listed those potential organizational (and financial) impact areas:

- The time spent on product evaluation and writing up the results of those evaluations by various divisions could have an impact upon other project or support activity schedules.

- The time spent in maintaining another standing committee could have an impact upon other plans and activities. Moreover, it is likely that this aspect of the process may require an additional (fraction of) clerical support staff.

- If evaluation activities become a regular and frequent occurrence, then it will probably require both additional work space and additional storage space.

- There may be some additional capital acquisition costs for evaluation systems.

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- In addition to the levels and categories of support detailed in the next section, another (non-direct) support category would also need to be managed. That category is "monitoring". It includes developing and monitoring client feedback on our performance, client needs, and the state and direction of technology.

- Each division of I.T.S. has its own mission to fulfil. In some cases, that necessitates providing support to products or services that will not be on the supported list. This apparent anomaly must simply be recognized. I.T.S. will publish a single supported list; divisions may need to provide support beyond that list.

V. Description of the Categories and Levels of Support:

In this section we present the categories of support and levels of support with each category. The categories represent different kinds of support; these are often provided by different units of I.T.S. In each case, the levels are presented from the highest level (lowest number) to the lowest level. Higher support levels always include lower levels of support activity. By providing for levels of support we are able to move items up or down in the amount of support a client can receive for a particular product as needs dictate. For example, it is expected that older products or those used only by a small community of users will be provided lower levels of support.

CONSULTING - Consulting is the activity of providing expert advice. For Supported Systems, this can range from general advice and recommendations on acquisition of products to solve particular problems (at the highest level) to simply answering questions or even to just referral to another source of information or expertise. The levels are:

1) Advice and Recommendation
2) Trouble Shooting
3) Question and Answer
4) Referral to others

TRAINING - Providing instruction related to Supported Systems can range from very formal group presentations or hands on classes to just providing reference materials or access to self-teaching materials. The levels are:

1) Formal Classes
2) Informal Demos or Presentations
3) Materials or Tutorials

INSTALLING - Providing support for hardware or software installation can range from providing the actual installation service in the client work area to merely informational or self-help materials. The levels for both hardware and software are:

1) Site Installation
2) Depot Assembly & Test
3) Self-Help Materials

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MAINTAINING - This support function is oriented to taking care of products that have already been installed. It is primarily a hardware related function, but there are some cases for software maintenance as well (e.g., application package upgrade). The levels are:

1) Site Maintenance
2) Depot Repair or Upgrade
3) Self-Help Materials

VI. Description of the Supported Systems List Criteria:

This set of criteria will be used by those who consider systems for support. They are not in priority order nor are they divided into groups such as facts, opinions, or "ought we" vs. "can we". These descriptions are designed to provide general guidance for evaluators. Evaluators would be more explicit in applying these guidelines to actual evaluations.

Community Need

The evaluator would attempt to determine whether there is a widespread need, a narrow need, or any need at all for the particular product.

Community Use

How widely is this kind of product already in use? Is there a real need to add another as a supported product (because of superior or different features).

Support Resources

Is this a product that can be supported within current resources? To what extent might we have to add support resources?

Price

What is the price of the product relative to comparable products. This would also include a consideration of special procurement relationships already in place or which might be negotiated.

Associated Costs

This is a consideration of costs related to owning and maintaining a unit (e.g., additional insurance, media cost, maintenance, etc).

Availability

Whether, and in what quantity, the products are available. Can they be received in reasonable timeframes.

Ease of Use

The "user-friendliness" of the product relative to other comparable products.

Technology

The technical direction of new products coming onto the market and the relationship of that to the installed base at Stanford

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and trends of technology. Is the product strategic or tactical from Stanford's point of view?

Expandability
This is a consideration of the basic architecture of the system; whether it is "open" or "closed". Can the capacity of the product be increased to allow for growth in its use? How easily can products from third party vendors be successfully incorporated into the system.

Compatibility
Can the product be integrated into the installed base? Can the product act as another product? How well does it interchange components with other "compatible" products? The extent of data compatibility is very important here, if applicable.

Functionality
This is the measure of the depth and breadth of a product. It asks question like, "What does this product do?", "How well does it do what it does?" or "How does it compare to other like products?".

Other University Requirements
The necessity to consider other university requirements that are not technological at their base.

Vendor/Manufacturer
What is the ability of the vendor and/or manufacturer to provide support for their product. Included here is a consideration of their reputation, longevity and viability.

Documentation
How good is the written background material or instructions for using and maintaining the product?

VII. Appendix:

This appendix contains three attachments:

Attachment A:
This is the list of Categories of Supported Systems

Attachment B:
This is the current Supported Systems List

Attachment C:
This is a list of systems to be considered for support

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Categories of Supported Systems

The following list organizes the product categories that are considered for support and serves as an topical index to the Supported Systems List. As new categories of products are considered (e.g., Expert Systems) this list will be updated by the SSC.

1: Microcomputer equipment and products

1.1: Hardware

1.1.1: Systems
1.1.2: Monitors
1.1.3: Multifunction Boards
1.1.4: Memory Expansion Boards
1.1.5: Serial and/or Parallel Port Boards
1.1.6: Video Display Boards
1.1.7: Floppy Disk Drives
1.1.8: Hard Disk Drives
1.1.9: Backup Devices
1.1.10: Printers
1.1.11: Sheet Feeders
1.1.12: Switch Boxes/Buffers for printers
1.1.13: Power Equipment
1.1.14: Modems
1.1.15: Networks
1.1.16: Input Devices
1.1.17: Alternative keyboards
1.1.18: Plotters

1.2: Software

1.2.1: Operating Systems
1.2.2: Communications
1.2.3: Word Processors
1.2.4: Spreadsheets
1.2.5: Databases
1.2.6: Desktop Utilities
1.2.7: General Graphics
1.2.8: Business Graphics
1.2.9: Integrated Products
1.2.10: Project Planning/Control
1.2.11: Statistical Packages
1.2.12: Utilities
1.2.13: Languages
1.2.14: Decision Support
1.2.15: Idea Processing

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Categories of Supported Systems

2: Mainframe Equipment and Products

2.1: Hardware

2.1.1 Central Systems
2.1.2 Storage
2.1.3 Printers
2.1.4 Plotters
2.1.5 Terminals (supported for Page WYLBUR and Prism)

2.2: Software

2.2.1: System Software
2.2.2: Applications
2.2.3: Languages
2.2.4: Plotting and Graphics
2.2.5: Statistics and Mathematics
2.2.6: Text Formatting/Typesetting
2.2.7: Utilities

3: Communications equipment and products

3.1: Hardware

3.1.1: Digital Switching
3.1.2: Analog Switching
3.1.3: Modems
3.1.4: Voice

3.2: Software

3.2.1: Mainframe
3.2.2: Micro-Mainframe
3.2.3: Micro-Micro
3.2.4: Protocols

3.3: Networks

3.3.1: Local Area
3.3.2: Campus
3.3.3: External

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Date: 10/04/1985 ATTACHMENT B

Supported Systems List

This is the Supported Systems List (effective as of the above date). Note that only those categories that are represented here are supported. The numbers in the left column refer to the Categories of Supported Systems. The numbers under the columns refer to the highest levels of support (smallest support number) given to that product for that category of support. All lower levels of support are included (e.g., level 2 includes level 3). An "n/a" indicates that there is no support for the product in that category that is applicable (e.g., training on a video display board is not applicable). The Review Date, if entered, is the time when this product is up for automatic review by the SSC.

		Consult	Train	Install	Maintain	Rev Date
1: Microcomputer equipment and products						
1.1:	Hardware					
1.1.1:	Systems					
	IBM PC/XT/AT/Portable	1	1	1	1	
	Apple Macintosh	1	1	1	1	
	HP 150, 110	1	2	1	1	
1.1.2:	Monitors					
	For IBM Monochrome					
	IBM Monochrome 5151-001	1	n/a	1	1	
	Amdek 310A	1	n/a	1	1	
	Princeton Graphics MAX-12	1	n/a	1	1	
	For IBM Color					
	IBM Color 5153-001	1	n/a	1	1	
	Princeton Graphics HX-12	1	n/a	1	1	
	IBM Enhanced Color 5154-001	1	n/a	1	1	
1.1.3:	Multifunction boards					
	For IBM					
	AST SixPack	1	n/a	1	1	
1.1.4:	Memory Expansion boards					
	For IBM					
	IBM memory expansion 1013	1	n/a	1	1	
	AST memory board	1	n/a	1	1	
	For HP 150					
	HP 45631A, 45632A	1	n/a	1	1	
	For Apple					
	Macintosh 512K expansion M2515	1	n/a	1	1	
1.1.5:	Serial and/or Parallel port boards					
	For IBM					
	IBM Serial 2074, Parallel 5200	1	n/a	1	1	
	IBM AT Serial/Parallel 0215	1	n/a	1	1	
	AST I/O Plus	1	n/a	1	1	
1.1.6:	Video Display Boards					
	For IBM non-Graphics					
	IBM Monochrome 4900	1	n/a	1	1	
	For IBM Graphics					
	IBM Color 4910	1	n/a	1	1	
	Hercules Graphics Card (mono)	1	n/a	1	1	
	IBM Enhanced Graphics 1200 (color)	1	n/a	1	1	

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Supported Systems List Date: 10/04/1985

		Consult	Train	Install	Maintain	Rev Date
1.1.7:	Floppy Disk Drives					
	For HP 110					
	HP 9114A battery powered, HP-IL	1	n/a	1	1	
	For HP 150					
	HP 9122D, 9123D	1	n/a	1	1	
	For IBM PC, XT					
	Tandon/IBM 3810	1	n/a	1	1	
	For IBM AT					
	1.2MB 5170-0206	1	n/a	1	1	
	360KB half height 5170-0207	1	n/a	1	1	
	For Macintosh					
	Mac External Disk Drive M0130	1	n/a	1	1	
1.1.8:	Hard Disk Drives					
	For IBM PC/XT Internal					
	Tandon, Rodime, Shugart 10MB	1	n/a	1	1	
	For IBM AT Internal					
	IBM 20MB 5170-0205	1	n/a	1	1	
	Rodime 32MB	1	n/a	1	1	
	For IBM PC/XT External					
	IBM Expansion chassis w/ 10MB	1	n/a	1	1	
	For HP 150 External					
	HP 9153A, 9133H	1	n/a	1	1	
1.1.10:	Printers					
	For IBM Dot Matrix					
	Epson MX, FX series	1	2	1	1	
	IBM Graphics	1	2	1	1	
	IBM Proprinter 4201-001	1	2	1	1	
	For IBM Daisywheel/Impact					
	Diablo 630 (others)	1	2	1	1	
	IBM Wheelprinter 5216-001	1	2	1	1	
	NEC 3500, 7700 series	1	2	1	1	
	Qume Sprint 11 series	1	2	1	1	
	C. Itoh F10 series	1	2	1	1	
	For IBM Non-Impact					
	HP Laserjet 2686A	1	2	1	1	
	HP Thinkjet 2225C, 2225D	1	2	1	1	
	IBM Quietwriter 5201-001	1	2	1	1	
	For HP110 Non-Impact					
	HP Thinkjet 2225B	1	2	1	1	
	For HP150 Non-Impact					
	HP Laserjet 2686A	1	2	1	1	
	HP Thinkjet 2225A,C,D	1	2	1	1	
	For Apple Macintosh Dot Matrix					
	Apple ImageWriter M0151, M0153	1	2	1	1	
	For Apple Macintosh Non-Impact/Laser					
	Apple LaserWriter M0160	1	2	1	1	
	HP Thinkjet 2225D	1	2	1	1	
1.1.11:	Sheet Feeders					
	For IBM Quietwriter and Wheelwriter					
	IBM	3	4	1	1	
1.1.12:	Switch Boxes/Buffers for printers					
	Black Box A/B Switch	1	n/a	1	1	

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Supported Systems List Date: 10/04/1985

		Consult	Train	Install	Maintain	Rev Date
1.1.13:	Power Equipment					
	Surge suppressors					
	Powersafe	1	n/a	1	1	
	UltraMax	1	n/a	1	1	
1.1.14:	Modems					
	For IBM Internal					
	Hayes 1200B	1	2	1	1	
	Ventel 1200 plus	1	2	1	1	
	For HP 150 Internal					
	HP Modem 45640A	1	2	1	1	
	External (for any)					
	Hayes Smartmodem 1200	1	2	1	1	
	Ventel 212+, 1200	1	2	1	1	
	US Robotics Password 1200	1	2	1	1	
	Apple Modem 1200 M0172	1	2	1	1	
1.1.15:	Networks					
	(see under Communications)					
1.1.17:	Alternative keyboards					
	For IBM PC/XT					
	Keytronics	1	n/a	1	1	
	For Apple Macintosh					
	Mac Numeric Keypad M0120	1	n/a	1	1	
1.1.18:	Plotters					
	HP 7470	1	n/a	1	1	
	HP 7475	1	n/a	1	1	
1.2:	Software					
1.2.1:	Operating Systems					
	For IBM and HP					
	DOS 2.1, 3.1	1	2	1	1	
	For Macintosh					
	Apple	1	2	1	1	
1.2.2:	Communications					
	For IBM and HP					
	Samson	1	1	1	1	
	For Macintosh					
	Samson	1	1	1	1	
	Macterminal	1	3	1	1	
1.2.3	Word Processors					
	For IBM and HP					
	Multimate	1	1	1	1	
	WordStar	1	3	1	1	
	For Macintosh					
	MacWrite	1	1	1	1	
	Microsoft Word	1	2	1	1	
1.2.4:	Spreadsheets					
	For IBM and HP					
	Lotus 1-2-3	1	1	1	1	

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		Consult	Train	Install	Maintain	Rev Date
1.2.5:	Databases					
	For IBM					
	Dataease	1	1	1	1	
1.2.6:	Desktop Utilities					
	For IBM					
	Norton Utilities	1	2	1	1	
3:	Communications equipment and products					
3.3:	Networks					
	Local Area					
	3Com Ethernet	1	2	1	1	

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Date: 10/04/1985 ATTACHMENT C

Systems to be Considered for Support

This is the list of items to be considered by the SSC for future support. This list is added to in accordance with the procedures outlined in the Supported Systems Task Force report.

1: Microcomputer equipment and products

1.1: Hardware

1.1.1: Systems
- Apple IIe
- Apple Lisa
- Mac XL
- HP Vectra
- Dedicated Word Processors
  - Lexitron
  - NBI
  - Wang
  - Xerox 860
  - IBM Displaywrite

1.1.2: Monitors
- For IBM Color
  - Amdek 710
  - Princeton Graphics SR-12

1.1.3: Multifunction boards
- For IBM
  - DCA IRMA 3278/79 emulation
  - Sigma Maximizer

1.1.6 Video Display Boards
- For IBM Graphics
  - Sigma Designs Color 400

1.1.7: Floppy Disk Drives
- For IBM
  - Tandon
  - CDC
  - Shugart
  - IBM 1/2 Height Drives

1.1.8: Hard Disk Drives
- For Macintosh Internal
  - Hyperdrive

1.1.9: Backup devices
- For IBM External
  - Sysgen
  - Maynard
  - Xcomp
  - Tecmar
  - Tallgrass
  - HP
- For IBM XT Internal
  - Irwin
  - Tecmar

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1.1.9: Backup devices (continued)
  For IBM AT Internal
    Tecmar
1.1.10: Printers
  For IBM Dot Matrix
    IBM Proprinter
    Okidata 84, 92, 93
    Toshiba P351
  For Macintosh
    Apple Daisywheel/Impact printers
1.1.14: Modems
  External
    Anchor
1.1.18: Networks
  (see under Communications)
1.1.16: Input Devices
  Mouse
    Microsoft Mouse

1.2: Software

1.2.1: Operating Systems
  For Lisa
    Lisa Office System
    MacWorks Macintosh emulator
1.2.2: Communications
  For Macintosh
    Versaterm
1.2.3: Word Processors
  For IBM and HP
    Word
  For IBM only
    Displaywrite III
1.2.4: Spreadsheets
  For IBM and HP
    Lotus Symphony
  For Macintosh
    Lotus Jazz
    Microsoft Excel
    Microsoft Multiplan
1.2.6: Desktop Utilities
  For IBM
    Sidekick
1.2.7: General Graphics
  For IBM
    Microsoft Chart
  For Macintosh
    Microsoft Chart
1.2.10: Project Planning/Control
  For Macintosh
    MacProject

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1.2.12: Utilities
For IBM
Prokey
Smartkey
1.2.13: Languages
For IBM
BASIC
Microsoft Pascal
1.2.14: Decision Support
For IBM
Lightyear
1.2.15: Idea Processing
For IBM and Macintosh
ThinkTank

3: Communication equipment and products
3.4: Networks
Local Area
AppleTalk
IBM PC Network

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